Prepared for
State of New Hampshire

CRIMINAL JUSTICE INFORMATION SYSTEM MASTER PLAN

DRAFT

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criminal offenders and cases is either not available or is not accessible to agencies or the courts in an efficient or timely manner.

For example, the current procedures for transmitting information to the Department of Safety's Central Repository of criminal records are neither timely nor efficient and pose a serious challenge to maintaining the completeness and integrity of criminal records in New Hampshire. Equally important, much of the information available to individual agencies or courts is never made accessible to other criminal justice agencies.

In addition, time-consuming and inefficient procedures have to be used by the different agencies and the courts to access information on criminal offenders and cases. The current procedures result in staff time and resources being spent on (1) the duplicate recording of criminal justice information, (2) cumbersome procedures for data transmittal, retrieval, and transportation, and (3) extensive use of photocopying and hard copy data storage. In an era of limited government budgets and resources, these practices are resulting in scarce resources being used for tasks that could easily be automated.

As a result of this situation, the sharing of information among the different agencies and courts is still based essentially on the shuffling of paperwork in a cumbersome and time-consuming process. Information is not always available when needed or may be incomplete and sometimes inaccurate. This leads to some potentially very serious problems. A few examples are as follows.

- Police may approach a suspect or a stopped vehicle without having complete or accurate information because the updating of criminal history records with dispositions is not fully automated and can be delayed.
- The wrong people can be detained, arrested, or incorrectly released as a result of:
  - the lack of a comprehensive file of offender data that provides a complete picture of the offender or suspect;
  - the lack of a statewide warrants file; and
  - the delays associated with organizations transmitting relevant data to other organizations.

- People who are arrested may be going free because of the lack of comprehensive fingerprinting and the cumbersome manual fingerprint matching process.
- Judges, county attorneys, and public defenders may not have all pertinent information on offenders and therefore may make wrong decisions.
- There is a chance that the wrong offenders may be placed on parole or probation because of the lack of relevant information from which to make a decision:
  - the compilation of offender information is cumbersome to collect from different sources, and
  - offenders may be released without prior notification of victims or local law enforcement agencies.

The primary objective of the CJIS system is to ensure that information on criminal cases and offenders is as accurate and up-to-date as possible and that the information is readily available in a timely manner to all agencies and organizations involved in the criminal justice system. In accomplishing this objective, the major outcomes will include:

- overall improvements in public safety,
- a greater degree of safety for law enforcement officers on the streets,
- improvements in the identification and processing of criminal offenders,
- promotion of more effective law enforcement,
- acceleration of case processing within the court system,
- promotion of timely and accurate disposition reporting to criminal history records,
- provision of timely information to victims of crime, and
- better monitoring of offenders in the criminal justice system through the ability to track offender status.

The successful development of a criminal justice information system in New Hampshire will bring substantial benefits for the state as a whole and for individual criminal justice agencies and the Judicial Branch. By providing more timely, accurate and accessible information on criminal offenders and cases, the CJIS will result in a more efficient and effective criminal justice system. In addition, the CJIS will help individual agencies and the

courts to perform their functions more efficiently and to reduce costs incurred in their current labor-intensive procedures.

C. FUNCTIONAL REQUIREMENTS AND SYSTEM MODULES FOR THE CRIMINAL JUSTICE INFORMATION SYSTEM

The CJIS Master Plan presents a functional requirements analysis for the new system. This analysis is an important first step in the planning and development of a large-scale automated systems involving multiple organizations. The functional requirements analysis provides the basis for subsequent development of the General Design for the system and for the assessment of alternative system architectures.

The preliminary functional requirements analysis presented in the Master Plan provides only an overall assessment of the basic requirements for the CJIS. During subsequent planning and design activities, it will be necessary to conduct a more detailed requirements analysis involving work groups representing each of the criminal justice agencies and the courts.

The functional requirements for the system are described for each of the major system modules. These include the following:

- the Arrests and Criminal Incidents Module;
- the Prosecution, Case Scheduling and Court Hearing Module;
- the Disposition and Sentencing Module;
- the Pre-Sentence Investigation Module;
- the Bench Warrants and Restraining Order Module; and
- the Incarceration, Probation, and Parole Module.

For each of these proposed system modules, we present a brief synopsis of the limitations of current interfaces in the criminal justice system, followed by a description of functional requirements for the new system.

D. CONCEPTUAL SYSTEMS DESIGN AND ARCHITECTURE FOR THE CRIMINAL JUSTICE INFORMATION SYSTEM

On the basis of the information gathered during the project, MAXIMUS recommends that the conceptual systems design and architecture for the New Hampshire CJIS should be based on the following core principles.

- The CJIS system should emphasize networking and connectivity rather than the development of a new shared database of criminal justice information.
- The system should take advantage of the current installed base of hardware and software to the extent feasible in order to control costs.
- The network should operate on the State's new telecommunications backbone system which is expected to be in operation by mid-1996.
- Pending the implementation of the new backbone system, work should begin as soon as possible on developing interagency agreements, identifying data transmission needs and protocols, developing new software programs, and acquiring hardware necessary to support the new CJIS network.
- The system should be implemented in phases by module in order to ensure that the most important modules are implemented without delay. The most important modules are those which will have the most immediate impact in improving the integrity of criminal records in New Hampshire.

E. IMPLEMENTATION PLAN AND BUDGET FOR THE NEW HAMPSHIRE CJIS

The Master Plan presents a detailed Implementation Plan and Budget for the development of the New Hampshire CJIS. The general approach to designing and implementing the CJIS system will involve two major steps:

- the development of an overall system design encompassing the entire CJIS system, and
- the phased design and implementation of individual modules.

The rationale for this approach is that it will allow the most important modules to be properly designed and implemented on a priority basis without waiting for an elaborate detailed system design for the CJIS system as a whole. If excessive time and resources are

spent on programming the entire CJIS system, there is a risk that New Hampshire will not see short-term benefits from the implementation of the most important modules.

Priority will be given to those modules that will directly enhance the integrity of the criminal records system in New Hampshire. Under the phased approach to designing and implementing the CJIS system, therefore, the modules will be implemented in the following priority order:

- Priority 1: the Arrest and Criminal Incidents Module;
- Priority 2: the Dispositions and Sentencing Module;
- Priority 3: the Incarcerations, Probation, and Parole Module;
- Priority 4: the Bench Warrant and Restraining Order Module;
- Priority 5: the Prosecutions and Case Scheduling Module; and
- Priority 6: the Pre-Sentence Investigation Module.

The CJIS system will be implemented in phases during a two-to-three-year period, but the most important modules will be implemented in less than two years.

The projected personnel costs for the entire CJIS system are $4,934,367.

The hardware requirements for the CJIS system will be relatively minor for four reasons.

- The CJIS will be able to take advantage of the new telecommunications backbone system that New Hampshire is planning to implement in late-1996.
- As indicated previously, the CJIS will make use of existing hardware as much as possible.
- New Hampshire officials wish to focus the system on the agencies that account for the largest percentage of criminal cases, rather than incorporating every single police department in the state.
- Officials at the Central Repository have indicated that they already have sufficient hardware capacity to support the new processing requirements of the different CJIS modules.

In this context, the primary hardware requirements for the new CJIS system will include the following:

- automated booking stations to support the Arrests and Criminal Incidents Module; and
- minor hardware acquisitions to improve the capacity of the Central Repository.

It is estimated that 25 automated booking stations will be required to support the Arrests and Criminal Incidents Module. Each of the 10 county jails will receive a booking station, and the remaining 15 will be deployed at the arresting agencies that account for the large majority of all arrest activity in New Hampshire.

The estimated cost of the 25 automated booking stations is $875,000. Additional hardware to support the CJIS will have a combined cost of $600,300.

The estimated budget for implementing the New Hampshire CJIS in terms of personnel requirements and hardware is $6,409,667. The ongoing operating costs are estimated at $1,931,300 per year.

CHAPTER I
INTRODUCTION

CHAPTER I: INTRODUCTION

This document presents the Statewide Criminal Justice Information System (CJIS) Master Plan for the state of New Hampshire. The Master Plan was developed by MAXIMUS as part of the overall Criminal History Records Improvement (CHRI) project conducted by the New Hampshire Department of Safety. MAXIMUS also conducted a baseline audit of criminal records data as part of the CHRI project.

A. DEVELOPMENT OF THE CJIS MASTER PLAN

The primary objectives of developing a CJIS Master Plan for New Hampshire were as follows:

- develop a coordinated plan for New Hampshire that can improve the sharing of information on criminal records, including data on criminal activities, arrests, dispositions, and offenders;
- provide detailed specifications for automation strategies to address the needs of criminal justice agencies, with an emphasis on interfaces among the different agencies and the judicial branch; and
- identify state funding strategies and projected timelines for tasks necessary to accomplish the automation strategies.

The development of the CJIS Master Plan was conducted by MAXIMUS in three phases, as follows:

- **Phase I: Situation Assessment.** The objectives of Phase I of the project were to:
  - gather information on the functions, procedures and organization of the major entities involved in the New Hampshire criminal justice system;
  - identify the major manual and automated interfaces that currently exist among the different entities in terms of exchanging information on offenders and criminal cases;
  - assess the current automation and technology that exists among the major criminal justice agencies and the courts, including internal systems and automated interfaces, as well as plans and priorities for future automation; and

- identify specific functions and processes that would benefit from the implementation of an integrated criminal justice information system, including benefits for the operational effectiveness and efficiency of each entity and the system as a whole.

o **Phase II: Define Target Systems Environment.** The objectives of Phase II of the project were as follows:

- identify automation objectives for a criminal justice information system;
- determine overall automation strategies;
- identify common data needs/data architecture;
- determine interagency and interbranch priorities;
- develop a conceptual systems design and architecture;
- identify system migration strategies; and
- identify a technology strategy.

o **Phase III: Systems Implementation and Planning.** The primary goals of Phase III of the project included the following:

- assess implementation options,
- develop specific plans for implementation,
- identify tasks and timelines,
- determine implementation prerequisites,
- identify funding and personnel requirements, and
- prepare the draft and final versions of the CJIS Master Plan.

B. ACTIVITIES CONDUCTED BY MAXIMUS TO PREPARE THE CJIS MASTER PLAN

During Phase I, MAXIMUS conducted two rounds of site visits to New Hampshire to interview officials from the major criminal justice agencies and the courts. In addition to conducting interviews with state agencies and the Administrative Office of the Courts (AOC), MAXIMUS visited a sample of local courts and criminal justice agencies. These visits were sufficient to provide us with a preliminary overview of the functions, organization, interfaces, and current automation of county and local criminal justice agencies, as well as the court system. In addition, MAXIMUS obtained additional information on the automation

of local law enforcement agencies through the survey that we conducted for the baseline audit.

To develop the Master Plan, MAXIMUS participated in meetings of the New Hampshire CHRI Task Force and conducted numerous site visits to individual agencies and the courts. Specifically, interviews were conducted with officials from the following entities:

- Department of Safety, Central Repository for Criminal Records;
- Administrative Office of the Courts (AOC);
- Attorney General's Office;
- Department of Corrections (DOC), State Prison;
- Department of Corrections, Division of Field Services (Probation and Parole);
- Selected local courts, county attorneys, and law enforcement agencies; and
- Department of Administrative Services, Office of Information Technology Management (OITM).

In addition to interviewing officials at each of these organizations, MAXIMUS compiled documentary materials pertaining to their operations, including (where available) standardized forms, reports, standing orders, operating procedures, descriptions of automated systems, and plans. Finally, copies of our reports were reviewed by Mr. Larry Polansky, an independent court consultant selected by the Administrative Office of the Courts.

C. ORGANIZATION OF THE CJIS MASTER PLAN

The remainder of the Master Plan consists of the following chapters:

- Chapter II provides a detailed review of the current automation of the different criminal justice agencies and the courts, with an emphasis on processes and procedures that would benefit significantly from improved automation.
- Chapter III describes the functional requirements for the proposed CJIS, including an overview of the major system modules.
- Chapter IV presents the proposed conceptual systems design and architecture for the new system.

- Chapter V presents an overview of the benefits of the proposed Criminal Justice Information System.
- Chapter VI presents the proposed Task Plan, schedule and budget for the development of the CJIS, including time lines for specific implementation tasks and activities.
- Chapter VII presents a proposed project organization and planning structure to ensure that the CJIS is implemented on schedule and within budget and that the new system meets all of functional requirements specified for the system.

CHAPTER II

ASSESSMENT OF THE CURRENT AUTOMATION OF THE NEW HAMPSHIRE CRIMINAL JUSTICE INFORMATION SYSTEM

CHAPTER II: ASSESSMENT OF THE CURRENT AUTOMATION OF THE NEW HAMPSHIRE CRIMINAL JUSTICE INFORMATION SYSTEM

In this chapter, we present a detailed review of the current automation of individual criminal justice agencies and the courts in New Hampshire, including an assessment of automated and manual interfaces among the different criminal justice entities. For each agency and the courts, we identify functions that are automated, partially automated or manual in nature. We also assess the limitations of current automated and manual procedures in terms of the efficiency of criminal justice agencies and the courts in carrying out their respective roles. The material in this chapter was compiled through a series of interviews and site visits conducted during Phase I of the project.

The chapter includes separate sections on the following components of the New Hampshire criminal justice system:

- the Department of Safety's Central Repository for Criminal Records;
- the Judicial Branch;
- law enforcement agencies; and
- the Department of Corrections.

A. DEPARTMENT OF SAFETY CENTRAL REPOSITORY FOR CRIMINAL RECORDS

The Department of Safety's Division of State Police is the official Central Repository (CR) of criminal history information in New Hampshire. By statute, the Central Repository is responsible for maintaining "criminal history record information," which includes information collected by criminal justice agencies consisting of descriptions and notations of arrests, detentions, indictments, informations or other formal criminal charges, and any dispositions, sentences, correctional supervision and release.

1. CURRENT AUTOMATION OF THE CENTRAL REPOSITORY

The CR has its own BULL mini-computer and a total of eight terminals linked to the mainframe. The system operates on the UNIX operating system and uses the ORACLE database management software.

The automated criminal history record information (CHRI) database consists of three major files that provide real-time on-line update and inquiry capability.

- The MASTER file containing criminal record information on persons who have been arrested and whose fingerprints have been forwarded to the State Police by local arresting agencies. This file contains basic identifying information about each individual.
- The ARREST file contains information on each arrest event, including the criminal history of each individual. This file also includes disposition information, which is entered when dispositions are sent by the courts.
- The AKA file contains alias information on individuals.

2. INTERFACES BETWEEN THE CENTRAL REPOSITORY AND OTHER CRIMINAL JUSTICE ENTITIES

The primary manual and automated interfaces between the Central Repository and other criminal justice entities are described below.

2.1 Interface with Local Law Enforcement Agencies

The Central Repository receives information on criminal incidents and arrests from local law enforcement agencies, and provides criminal records information back to these agencies. The transmittal of information from the local law enforcement agencies to the CR is largely manual. However, under the NIBRS initiative, efforts are underway to automate the transmittal of selected data on criminal incidents and arrests for federal reporting purposes.

2.1.1 Transmittal of Information from Local Law Enforcement Agencies to the Central Repository

The CR receives the DSSP Fingerprint Cards from local arresting agencies through the regular mail. They come in with the FBI Fingerprint Cards (FD-249). The FBI cards are not retained by the CR but (after the CR is updated) are transmitted directly to the FBI for inclusion in the NCIC records.

The CR also receives the Final Disposition Report for all felonies and misdemeanors. These reports are sent immediately to the FBI, where they are used to update the NCIC records. The Final Disposition Reports are sent in by the local police departments, but they are filled out only after the disposition information is obtained from the courts.

When a new fingerprint card arrives, the clerical staff conduct an immediate inquiry on the name and date of birth to determine whether there is already a record for the defendant. The system automatically assigns a new State ID (SID) number to those cases that do not have an existing number. The CR staff key enters the data from the card onto the CR's automated system. The Tracking Number (TN) on the card is also key entered.

The fingerprint card is then filed. In addition, the fingerprint clerks conduct a search of the fingerprint files to determine whether the arrestee may have an existing card under an alias.

Most of the fingerprint cards received from local police departments are complete. However, if information or signatures are missing, the cards have to be mailed back to the police department. The CR has asked each arresting agency to send in the fingerprint cards once per week. However, many of the smaller towns send in the cards once per month.

One of the problems faced by the CR is that a large percentage of arrestees are not fingerprinted by the arresting agencies. The limitations of the current procedures have been documented by MAXIMUS in our Baseline Audit Report, which was submitted to New Hampshire in December 1994.[1/] During the Baseline Audit, we found that there is often little consistency among, or even within, police departments as to what types of crimes

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1/ New Hampshire CJIS Baseline Audit, MAXIMUS, Inc., December 1994.

require fingerprinting. Some departments require fingerprinting for all arrests (including violations), others just for felonies, while still other departments require fingerprints for just felonies and misdemeanors. Some departments leave the decision to the individual officers.

In cases where the arresting agency does not fingerprint the arrestee, the FBI cannot be notified of the arrest and there is no record of the arrest on the CHRI database. In addition, there is no tracking number (TN) for following the case through to disposition. The TNs are designed for use in tracking cases through the courts. This enables cases to be tracked even if a charge is reduced.

When the disposition information is subsequently received from the courts, the Central Repository staff conduct a search of the database to match the disposition with the arrest. However, because of the large percentage of cases where the arrestee has not been fingerprinted, **no record of an arrest can be found for a substantial percentage of the dispositions.**

When a disposition is received from the courts and there is no fingerprint card for the arrest, the Central Repository cannot create an arrest record, so there will never be complete arrest information for the case. The Central Repository staff have been instructed to maintain information on the arresting agency in these cases, if this can be determined from the disposition reports. In addition, the local police departments do maintain their own arrest records even if they do not fingerprint all arrestees. However, the current procedures make it difficult to maintain the integrity and completeness of the criminal history records information at the Central Repository. As we noted in our Baseline Audit Report:

> "A significant amount of the missing data is the direct result of not fingerprinting suspects as soon as they enter the criminal justice process. If fingerprints are not taken and a tracking number is not assigned, it is impossible to link arrest and subsequent disposition data positively for criminal history purposes. From the standpoint of the criminal history records system, it is as if the arrest never occurred."[2/]

2/ New Hampshire CJIS Baseline Audit, MAXIMUS, Inc., page II-20.

Another problem is time lags in the submittal of the fingerprint cards to the Central Repository. The MAXIMUS Baseline Audit found that 10 percent of small police departments took longer than one month to submit fingerprint cards to the Central Repository and that 9 percent of mid-size departments took longer than a month.[3/] The problem of time lags can be significant in the case of arresting agencies which have to rely on outside booking stations. For example, the State Police Troops often have to book arrestees at a county jail or local police department because of driving distances. In these cases, the fingerprint cards, the Incident Report, the Arrest Report, and other paperwork still have to be processed at the Troop. This can cause time lags of several weeks in the processing of the fingerprint cards.

To ensure that the CJIS system has maximum impact in improving the integrity and completeness of the criminal history record information, our Baseline Audit Report recommended that legislation be enacted to allow the courts to reject case filings without the fingerprint Tracking Number and to provide for post-conviction fingerprinting of summons and indictment cases. We also recommended that training be provided to local arresting agencies for local police to reinforce policies and procedures for fingerprinting and use of the Tracking Number.[4/]

The local arresting agencies also transmit data on criminal incidents and arrests for the FBI uniform crime reporting (UCR) system. These reports have traditionally been sent in hard copy aggregate form. The Department of Safety, however, is in the process of implementing the automated National Incident Based Reporting System (NIBRS). Approximately 120 local police departments will be participating in this system. The system will run on PC Oracle software at agencies which do not have their own automated systems or which are not tied into other systems. These departments have been given the format for file transfers to an ASCII file. Submittal of data to the Central Repository will be conducted by direct download via modem (the preferred system) or by floppy disk.

3/ New Hampshire CJIS Baseline Audit, MAXIMUS, Inc., page II-22.

4/ New Hampshire CJIS Baseline Audit, MAXIMUS, Inc., page III-3

2.1.2 Transmittal of Information from the Central Repository to Local Law Enforcement Agencies

Most full-time local police departments and most of the sheriffs now have SPOTS terminals for use in accessing criminal records. The SPOTS terminals can be used to access New Hampshire criminal records, NCIC records, Triple III, motor vehicle records, and warrants, based on specific function keys. The introduction of the SPOTS terminals has considerably reduced the workload of the CR. Local police departments also use the SPOTS terminals to request certified criminal records on applicants for jobs.

2.2 Interface with the Courts

There is no automated interface between the courts and the CR. The District Courts and Superior Courts are required to transmit disposition data to the CR. The information is transmitted manually in the form of the Complaint/Disposition Forms (see the Appendix). The front side of the Complaint provides details of the offense and the name of the defendant, while the other side of the Complaint contains details on the disposition, including the docket number, the plea, the finding (guilty/not guilty/dismissed), the sentence, and any probation or parole terms.

The disposition data are key entered by the CR staff onto the CR automated system, including the pleas, the findings, and the sentences. The staff conduct a search using the offender's name in the fingerprint files. **However, it was estimated that, for a substantial percentage of the dispositions, no record of an arrest can be found for the case.**

When a disposition is received from the courts and there is no fingerprint card for the arrest, the CR cannot create an arrest record, so there will never be complete arrest information for the case. However, the CR staff have been instructed to maintain information on the arresting agency in these cases, if this can be determined from the disposition reports. In addition, the local police departments do maintain their own arrest records even if they do not fingerprint all arrestees.

The CR receives dispositions from the courts every day. **However, many of the dispositions can be up to three weeks old when they are received.** In addition, the

Baseline Audit revealed that about 10 percent of dispositions are not received by the Central Repository within one month after the disposition of the case by the courts.

The survey results from the Baseline Audit also indicated a significant discrepancy between the number of cases filed each month and the number of dispositions submitted to the Central Repository, especially from the District Courts. The main reason for disposition data not being forwarded to the Central Repository is that a large number of court clerk offices do not send disposition data to the Repository for nolle prosequi and dismissed cases. It was also found that a certain percentage of dispositions are simply lost while being sent to the Central Repository.

The CR also receives notification of all probation and parole violations from the Superior Courts. These arrive by mail.

The courts do not typically request criminal records, because this function is the responsibility of the local prosecutors and Probation Officers. Currently, only the Rockingham County courts and the Plymouth District Court have SPOTS terminals, although work has been undertaken to have the rest of the courts tied into SPOTS.

2.3 Interface with Prosecutors

There is no automated interface between the Central Repository and the county or city prosecutors. Each county attorney and city attorney sends in the names of defendants for whom they wish to obtain certified criminal records. Each name is written on a form letter, which also includes the trial date. None of the county or city attorneys has SPOTS terminals for accessing the CR records, except for Rockingham County.

When a criminal records search is conducted for a local prosecutor, the CR does not conduct a search of the NCIC or other states because this is too time-consuming. The searches are conducted only on the New Hampshire criminal records. Prosecutors have to access a SPOTS terminal at a local police department or sheriff's office to obtain data from the NCIC records.

Since the records requested by the prosecutors have to be certified, the CR staff put a stamp on the record and attach it to the form letter. The records are then mailed out. Certified records are not required by statute, but the judges typically require the records to be certified. The turnaround time for processing the requests from the prosecutor is about two days, although the CR has up to five days to respond.

2.4 Interfaces with the Department of Corrections

The primary interfaces between the CR and the Department of Corrections are described below.

2.4.1 Interface with the State Prison

For new inmates, the State Prison sends the CR a set of fingerprint cards and a photograph, as well as a form indicating how long the inmate will be at the prison. The State Prison obtains fingerprints for all new inmates even if the fingerprints have already been obtained by the arresting agency and transmitted to the CR. The DOC fingerprint cards are placed in the offender's file by CR staff. The CR also receives fingerprint cards from several of the county jails.

2.4.2 Interface with the DOC Division of Field Services

The Department of Corrections has a SPOTS terminal at the central office of the Division of Field Services to conduct their own criminal record searches. This has greatly reduced the number of hard copy requests for criminal records. The Division of Field Services uses the SPOTS terminals to obtain information on behalf of its District Offices, which do not have SPOTS terminals. Criminal records are requested for a number of reasons, including:

- Pre-Sentence Investigations (PSIs),
- assigning supervision contact standards,
- reviewing the possible early termination of probation/parole, and

- o obtaining information on offenders who have been transferred from other states.

To obtain the criminal records, the District Offices have to notify the central office through manual procedures to initiate a SPOTS search.

B. THE COURTS

This section presents an overview of the current automation of the courts, including plans for future automation. In addition, the existing interfaces (manual and automated) between the courts and the major criminal justice agencies are assessed.

The first section is based on interviews at the Administrative Office of the Courts (AOC). This section includes an overview of statewide automation of the District and Superior Courts. The remaining sections present information based on interviews conducted at the Concord District Court and the Merrimack County Superior Court.

1. ADMINISTRATIVE OFFICE OF THE COURTS (AOC)

The Administrative Office of the Courts is a service agency that serves the 40 District Courts, 11 Superior Courts, two municipal courts, and 10 Probate Courts in New Hampshire. Each of the 10 counties has a Superior Court, except for Hillsborough County, which has two Superior Courts: North (located in Manchester) and South (located in Nashua). The two municipal courts will be closed when the current judges retire and are not included in the AOC's current automation plans.

The District Courts are responsible for all misdemeanor cases and violations. In addition, felony cases are initially arraigned in District Court except for grand jury indictments.

1.1 Current Automation of the Courts and Future Plans

The AOC is currently overseeing the statewide implementation of the SUSTAIN system in the District and Superior Courts. All of the 40 District Courts have already

implemented this system. In addition, four of the Superior Courts have implemented SUSTAIN: Coos, Carroll, Cheshire, and Sullivan counties.

The SUSTAIN system is a case management package marketed by Choice Information Systems of Newport News, Virginia. However, AOC has arranged for extensive customizing of the basic package. The system covers all of the standard court functions and information needs, including docketing, hearings, calendaring, event scheduling, information on the parties and charges, notifications of hearings and other events, addresses and letters, bail information, names of attorneys, court decisions and disposition data.

The system also generates management reports of aggregate-level statistics (such as the number of dispositions each quarter by case type). AOC is currently working on refining the management reporting components of the system.

A case is established on SUSTAIN on the basis of the hard copy Complaint received from arresting agencies or prosecutors. The system is then updated through other source documents and information, such as scheduled hearings, results of trials, guilty pleas, and other events.

The system includes civil as well as criminal cases. Court accounting is also tied into the SUSTAIN system. This includes tracking the payment of fines. The system was phased in beginning with pilots in 1987. The system had been installed in each District Court by 1993.

Each of the 40 District Courts has a PC-based LAN, with Novell Netware and WordPerfect 5.1. The PC LANS are not tied together. The number of PCs in each District Court varies according to staff size and caseload. The District Courts also differ in terms of the types of PCs they are using, depending on when they were installed. As PCs are replaced in the District Courts, the AOC is installing 486 PCs as its standard.

The seven Superior Courts that have not yet implemented SUSTAIN are currently using different types of hardware and software. Four of the courts -- Strafford, Rockingham, and Hillsborough North and South -- are using a home-grown docketing system that runs on Wang mini-computers. Belknap and Grafton Superior Courts are also running on Wang

mini-computers but are not using the docketing system of the other four courts. Merrimack County Superior Court has an HP 3000 mini-computer. All of this hardware and software will be phased out in the next one or two years as SUSTAIN is implemented.

At the Merrimack County Superior Court, the migration to the SUSTAIN system will be accomplished by the key entry of data, but it is unclear how much information will be converted on old cases. At the four courts using the Wang hardware, the conversion will involve extracting data electronically from the current system and converting it to SUSTAIN.

The implementation of the SUSTAIN system was initially bond-funded, but the system is currently supported through AOC operating funds. The AOC sees no need for any major additional equipment purchases at the courts that have implemented SUSTAIN, expect for upgrading the power of some of the existing PCs.

1.2 Interfaces Involving the Courts

The major interfaces involving the courts are assessed below.

1.2.1 Interface Between the AOC and the Courts

The only automated interface that currently exists between the AOC and the individual courts is a dial-up system that AOC uses for DP support. The District and Superior Courts do not have their own DP staff. The AOC handles all of the DP support for each of the courts, including diagnosing problems and emergency fixes. The AOC also does most of the software updates for SUSTAIN by sending diskettes of new versions. Emergency fixes are handled through dial-up. The AOC also maintains a Support Desk with a toll-free line for use by the courts. In addition, the AOC uses a hardware vendor for maintenance.

The AOC does not see a need for mainframe processing at the current time. Instead, the agency foresees all data processing being conducted through PC-based systems both at the individual courts and at the AOC itself. Eventually, the AOC would be interested in using the planned backbone telecommunications system as a way of linking the courts electronically. This approach will be much less expensive than the use of leased lines.

1.2.2 Interfaces Among the Courts

The SUSTAIN system itself does not provide any automated interfaces among the different District or Superior Courts. However, AOC is in the process of implementing a Wide Area Network (WAN) on a pilot basis this summer. Two of the District Courts (Plymouth and Concord) will be linked to AOC through the WAN, which will also include an E-mail component. The WAN will involve dedicated telephone lines and three routers, in contrast to the current dial-up system. The WAN will be used primarily for such purposes as E-mail and transmitting word processing documents.

Besides the WAN, however, tying the courts together electronically is further down on the list of AOC's priorities at the current time. For example, the WAN will not be used in the near term for transmitting case management information among the courts.

The Superior Courts are also interested in a WAN network, primarily to allow judges to communicate with each other. This type of network, however, will be very expensive unless it is based on the backbone system being planned by DAS/OITM.

At the current time, there is no automated interface between the District Courts and the Superior Courts, except that appeals from the District Courts to the Superior Courts can be recorded in the SUSTAIN systems of the respective courts. If a case is appealed from a District Court to a Superior Court, however, the case information has to be transferred manually.

1.2.3 Interfaces Between the Courts and the Central Repository of Criminal Records

This section provides an assessment of the current interfaces between the courts and the Central Repository.

1.2.3.1 Transmittal of Information from the Courts to the Central Repository

The primary interface between the courts and the Central Repository involves the transmittal of disposition information from the courts. This interface is currently manual for all courts.

In theory, the transmittal of disposition information could be done through the SUSTAIN system. SUSTAIN could be programmed to extract the information and send it electronically to the Central Repository and to other agencies, assuming that these other agencies developed the necessary programming code to receive the data.

The issue of telecommunications hardware, however, remains to be resolved. For cost reasons, the AOC would prefer to have the data transmitted through the proposed backbone system, depending on when this is available. In addition, the interface would have to be based on file transfers, not the keying of individual dispositions. On an interim basis, SPOTS terminals could be used to transmit disposition data electronically.

The SUSTAIN system is not currently being used to capture the Tracking Number (TN) from the Complaint, although it could be used for this purpose. In a large percentage of cases, the TN is not available because the arresting agency has not fingerprinted the arrestee. In cases where the arrestee has been fingerprinted, the TN is transcribed by the arresting agency onto the Complaint, which is then sent to the individual court by the arresting agency or prosecutor. However, the courts have been advised by AOC not to enter the TN on SUSTAIN. The reason for this is that nothing is currently being done to transmit SUSTAIN data electronically to other agencies, so it is superfluous to enter the TN number on the system. The courts would be willing to begin putting the TNs on their system if an electronic interface with the CR were to be implemented. The primary goal of the TNs is to help link arrests with dispositions even when a charge is changed or dropped. Currently, the courts send the dispositions, which include the TNs if the arrestee has been fingerprinted and if the TN has been transcribed onto the Complaint by the arresting agency. Although the courts would be happy to include the TNs on their automated system if an electronic link to the CR were developed, the courts do not wish to become the "gate" for the TN, in the sense of sending Complaints back to the arresting agency if a TN has not been transcribed.

If the TN were to be included in the SUSTAIN system, it would be necessary to address the issue of whether a separate TN would be assigned to each charge in a case or whether the same TN would be assigned to all charges involved in an individual case. This issue would have to be resolved with the Central Repository and local arresting agencies. The issue is important in cases where some charges are dropped or dismissed.

The only automated linkage that currently exists between the courts and the Central Repository is a pilot project in the Salem and Auburn District Courts, known as the **Electronic Bench Warrant System**. On a nightly basis, new bench warrants are transmitted electronically from the SUSTAIN system to the Central Repository to update the outstanding warrant files. This information is then available to local law enforcement agencies through the SPOTS terminals.

One problem in this area is that police officers have been trained not to make arrests only on the basis of what they see on a computer screen (because of liability issues). The AOC hopes to convince the arresting agencies that the judicial data are accurate. It is hoped that the Electronic Bench Warrant System will be expanded to all District Courts by the end of 1995. The AOC is also planning to expand the system to include restraining orders in domestic violence cases. The Central Repository is in the process of deciding on the specific types of data that might be transmitted on restraining orders. The orders will not be on the CR, but on SPOTS.

Except for the Salem and Auburn District Courts, the courts are not transmitting their warrants to the Central Repository. Instead, the warrants are sent manually only to the local law enforcement agencies within the jurisdiction of each District Court. There is no statewide dissemination of these warrants.

1.2.3.2 Transmittal of Information from the Central Repository to the Courts

The courts themselves do not routinely request any information from the Central Repository. It is up to the prosecutor, not the courts, to search the defendant's criminal records when investigating a case or preparing charges. It is also up to the police and prosecutors to review criminal records when making bail recommendations. Similarly, at the time of sentencing, it is the role of the Probation Officer to review the offender's criminal record when preparing a Pre-Sentence Investigation (PSI) for the court.

1.2.4 Interfaces Between the Courts and Law Enforcement Agencies

The major interfaces between the courts and local law enforcement agencies are described below.

1.2.4.1 Transmittal of Information from Law Enforcement Agencies to the Courts

In the courts that have implemented the SUSTAIN system, cases are set up on the SUSTAIN system on the basis of the Complaint documents. The Complaints are completed manually by local Police Departments, state troopers, and other arresting agencies. No electronic interface currently exists between the arresting agencies and the District Courts for the transmittal of complaint information. Any plans to develop an electronic interface would have to address the issue of common data element definitions. For example, the definition of "filing date" for a police department may be different from the courts' definition.

1.2.4.2 Transmittal of Information from the Courts to Law Enforcement Agencies

Currently, if a local police department wishes to find out about a disposition from the court, the officer has to show up at the hearing, call up by telephone, or wait for a manual notification. Police agencies do not have access to SUSTAIN for purposes of obtaining disposition or scheduling information, but this could be arranged on a "read-only basis." For example, local police departments could be given access to SUSTAIN to look up data on the dispositions of their arrests. This could be done initially on a dial-up basis, but would ideally be done through the proposed backbone system when operational. The local police departments and prosecutors could be given access to the backbone for this purpose. The police departments could also monitor SUSTAIN data to ensure that officers show up at court appearances to avoid cases being dismissed.

1.2.5 Interface Between the Courts and the Prosecutors/Public Defenders

The county attorneys and city prosecutors cannot access the SUSTAIN system at the current time. The prosecutors have to rely on the transmittal of manual forms to find out

about case dispositions from the courts. The public defenders do not currently have any automated interface with the courts or access to SUSTAIN.

1.2.6 Interface Between the Courts and the Department of Corrections and County Jails

The current interfaces with DOC and the county jails are completely manual. When an offender is convicted, the courts create a MITTIMUS that defines the sentence. The State Prison and local jails will not accept a prisoner without this paperwork. The State Prison and county jails have no access to the SUSTAIN system.

The courts, in turn, do not typically request information from DOC. It is up to the prosecutor or arresting agencies to obtain information about the defendant's parole or probation status.

1.3 DATA CONFIDENTIALITY ISSUES

The release of information on juveniles is subject to restrictions under state law. Juvenile dispositions can be shared with criminal justice agencies, but on a restricted basis. Prior dispositions in juvenile cases can be shared with law enforcement agencies, but a motion must be filed with the judge. Juvenile cases are kept separate on the SUSTAIN system. The CR does not have any juvenile records in its system. Other situations which must be kept confidential include:

- cases where a conviction has been annulled based on a petition by the defendant,
- secret indictments, and
- sealed search warrants.

Any proposals to develop automated interfaces between the courts and other agencies would have to address this issue.

2. CASE STUDY: THE CONCORD DISTRICT COURT

To provide further illustration of the current automation of the courts, this section provides a brief review of automation in one of the District Courts -- the Concord District Court.

2.1 Current Automation

The Concord District Court has already implemented the SUSTAIN system. Cases are entered on the SUSTAIN system after the court receives the Complaint. The clerical staff date stamp the Complaint, assign a docket number, and enter the case on the system. This process also includes motor vehicle violations. The SUSTAIN system automatically produces notices of hearings. However, the SUSTAIN system has not been programmed to print copies of the Complaints, including the disposition information on the back of the Complaint.

2.2 Interfaces with Criminal Justice Agencies

Interfaces between the District Court and other entities are handled entirely through paper-based manual procedures, rather than through automation. The primary interfaces are described below.

2.2.1 Interface with Law Enforcement Agencies

All felonies and misdemeanors are arraigned at the District Court, except for the "direct indictment" felonies which are brought before the grand jury. The Concord Police Department uses the city prosecutor for all felonies and misdemeanors. Accordingly, the criminal Complaints prepared by the Concord Police Department are actually taken to the City Prosecutor before they arrive at District Court. The City Prosecutor enters the arraignment date on the Complaint, and this is subsequently entered on the SUSTAIN system. If the arrest is made by the state police, however, the case is prosecuted by the state police, not by the city prosecutor.

Most of the other local police departments prosecute their own cases. In these cases, the Complaints are filed directly with the District Court, and the arresting officer presents the Complaint at the arraignment.

Defendants are given an arraignment date when they are arrested. In the majority of misdemeanor cases, the defendant is released on bail or personal recognizance pending the arraignment. If the defendant fails to appear, a bench warrant will be issued. The arresting agency is notified of the bench warrant through the transmittal of a bench warrant form. The bench warrant is also entered on the SUSTAIN system.

2.2.2 Interface with the Central Repository

If the defendant pleads guilty at arraignment, the back page (Abstract) of the Complaint is completed and sent to the Central Repository. If a not guilty plea is entered, the Complaint is not sent to the Central Repository until final disposition. The front side of the Complaint form provides the CR with information on the offender and the offense. The SUSTAIN system does not print the dispositions for transmittal to the Central Repository.

In motor vehicle cases, the District Court will often default defendants who fail to appear at arraignment and will send this disposition to the CR. In criminal cases, however, the CR is not notified that a bench warrant has been issued because a bench warrant is not a disposition.

2.2.3 Interface with the Superior Court/County Attorney

If probable cause for a felony is determined by the District Court at a probable cause hearing following arraignment, the case is sent to the Superior Court, which then sends the case to the County Attorney. The case is then arraigned at Superior Court. The case file is transmitted to the County Attorney for this purpose.

In the event of an appeal from the District Court, the clerical staff make certified copies of the case file and send it to the Superior Court by mail. This includes copies of all the motions, exhibits, bail bonds, and other key documents.

2.2.4 Interface with the Public Defender

A large number of District Court cases involve public defenders. The defendants who request a court-appointed attorney are required to complete a financial affidavit. This is reviewed by the District Court staff. If the defendant qualifies, the staff fill out a form and prepare a copy for the Public Defender's Office, as well as a copy of the financial affidavit. The Public Defender's Office sends a staff person to the District Court every day to pick up the folder of cases.

2.2.5 Interface with the County Jail

The District Court prepares an Adult Order of Commitment when an offender is sentenced to serve time in the county jail. The sentence is also recorded on the back of the Complaint. The county jail does not usually request any additional follow-up information on offenders after they have been incarcerated. However, if the offender is sentenced to serve weekends only, the jail will contact the District Court if the offender does not show up.

2.2.6 Interface with the Department of Corrections

This interface is entirely manual. Prior to sentencing, the Court has to notify the DOC's Division of Field Services if a Pre-Sentence Investigation is required. If the offender is sentenced to probation, the District Court sends the Division of Field Services a copy of the Complaint and Abstract and other relevant documents. The Division of Field Services then sets up its own file for the case.

3. CASE STUDY: THE MERRIMACK COUNTY SUPERIOR COURT

MAXIMUS conducted site visits to the Merrimack County Superior Court to examine the procedures and interfaces currently in place.

3.1 Current Automation

The Merrimack County Superior Court currently has a HP mini-computer but will eventually be migrating to SUSTAIN. Cases are entered onto the system after the court

receives a grand jury indictment from the county attorney or after a felony case is referred following a District Court arraignment. Pre-trial motions and other events are added to the system as the case proceeds. A docket number is assigned, but the court does not enter the Tracking Number (TN) on its system for reasons described previously in Section 2.3.1 of this chapter.

The system is also used to enter calendaring information. Trial dates are currently running about four months after arraignments. In the interim, the attorneys file motions and pleas, which are also captured on the automated system. The system includes an automated tickler to provide notification of hearing dates and trial dates. The system also supports word processing.

The court does not have its own DP staff but relies upon the AOC for DP support.

3.2 Interfaces with the Major Criminal Justice Agencies

The existing interfaces between the Merrimack County Superior Court and other entities are described below.

3.2.1 Interface with the Central Repository

If a case has previously been arraigned in District Court, the District Court docket number is placed on the disposition form before it is sent to the CR by the Superior Court. This is designed to help the CR distinguish between multiple arrest charges for the same offender.

The disposition information for each case is sent manually to the CR on the "Return from Superior Court." This document is produced from the court's word processing system, but is not totally computer-generated. The clerical staff have to type in the docket number, the name and date of birth of the offender, and other information unique to each case. It is expected that the SUSTAIN system will generate the forms automatically when implemented.

There is an elapsed time of two weeks in sending the disposition information to the Central Repository. The court frequently receives telephone calls from the CR

inquiring whether disposition information is available on arrest cases. The court also sends hard copy notices to the CR of acquittals, dismissals, and amendments to sentences. All other parties also receive these notices.

The Superior Court does not notify the CR of warrants for failure to appear. Instead, the sheriff's office is notified manually, and the sheriff's staff are responsible for entering the warrants onto the NCIC system. The sheriff receives three copies of each warrant.

3.2.2 Interface with the County Attorney

The County Attorney prosecutes all felony cases at the Superior Court. These include grand jury indictments as well as felonies that have been arraigned in District Court. In grand jury cases, the Superior Court arraignment is the reading of the indictment. Bail decisions and appointment of counsel are handled at the arraignment.

If a bail hearing is requested by the County Attorney or the Public Defender, the court staff update their automated system to reflect the bail hearing, including information on the financial affidavit and the bail bond. Following arraignment, the court staff also update their system with the names of counsel, the jury selection date, the pre-trial hearing dates, case continuances, and other information.

The court sends a manual copy of the "Return from Superior Court" (disposition) to the County Attorney, which then sends a copy to the arresting agency. If the Sheriff's Department is the arresting agency, the Return from Superior Court is sent directly to the Sheriff.

3.2.3 Interface with the Public Defender

The majority of cases filed at the Superior Court involve a public defender. The attorneys from the Public Defender's Office appear for all of the arraignments. The public defenders are provided with a hard copy list of scheduled arraignments at least one day before the arraignments are scheduled.

3.2.4 Interface with the District Courts

It was estimated that the Superior Court receives 5 to 15 appeals each month from the District Courts in the county. These cases are referred to the County Attorney. Following the disposition of the case, the Superior Court sends the District Court a hard copy Return from Superior Court to notify the District Court of the disposition.

The Superior Court is also notified of "bindover" cases by the District Court. These are cases that are bound over to the County Attorney for a possible grand jury indictment after being initially filed in District Court. If the County Attorney decides not to present the case to the grand jury, the Superior Court does not receive an indictment. The County Attorney, however, does not notify the Superior Court of bindover cases that are not presented to the grand jury, so that the Superior Court does not always know whether to close the cases.

3.2.5 Interface with Law Enforcement Agencies

The Superior Court does not receive any cases directly from local arresting agencies. However, the local police departments request search warrants from the Superior Court.

3.2.6 Interface with the DOC Division of Field Services

In the event of a conviction by plea or trial, a request for a Pre-Sentence Investigation report is triggered. This is sent manually to the local District Office of the Division of Field Services, which has between 30 and 45 days to prepare the report. Only the basic case information is transmitted. The Probation Officer interviews the defendant to obtain additional information and conducts a criminal records search.

3.2.7 Interface with the State Prison

If a Superior Court defendant is sentenced to state prison, the court sends the prison a hard copy of the Return from Superior Court, together with a copy of the indictment and the Pre-Sentence Investigation.

C. LAW ENFORCEMENT AGENCIES

Law enforcement agencies in New Hampshire consist of three primary types. First, there are 107 municipal police departments responsible for law enforcement in specific towns. Many of the smaller police departments, however, do their bookings and fingerprinting at the county jails.

Second, there are 10 county sheriff's departments. The primary functions of the sheriffs (who are elected every two years) include:

- carrying out arrest orders from the Superior Courts -- if a person has been indicted and does not appear in court, an Order of Arrest is issued;
- prisoner transportation and court security;
- front line law enforcement in towns with more than 3,000 residents which do not have their own local police departments; and
- service of civil process.

The sheriff's departments do not have a patrol function but may carry out criminal investigations.

Third, there are six state police Troops. By law, the state police can only go into towns with populations of less than 3,000 residents unless invited in by the local Police Department. The state police are also responsible for law enforcement on state highways.

To illustrate the current automation and interfaces of state and local law enforcement agencies, this section presents an assessment of the automation and interfaces of four law enforcement agencies that were visited by MAXIMUS during the project. These include:

- Concord Police Department,
- Manchester Police Department,
- Merrimack County Sheriff's Department, and
- State Police Troop C at Keene.

1. CONCORD POLICE DEPARTMENT

This section presents an assessment of the automation and current interfaces of the Concord Police Department.

1.1 Current Automation

The Concord Police Department has a mid-size computer with a number of workstations, but the system does not comprise a network. The system operates on UNIX. The department purchased a canned software package from a Massachusetts software vendor. This software allows for on-line booking but the department does not use this module.

The computer system is used to capture information from the arrest reports, incident reports, and to log in all calls for service. Lists of stolen vehicles and wanted persons are also entered on the system. The department also has its own computerized warrant system.

1.2 Interfaces with Other Criminal Justice Agencies and the Courts

The primary interfaces between the police department and other agencies are manual, as described below. However, the department has recently developed procedures for participating in the automated reporting of criminal incident data for NIBRS.

1.2.1 Interface with the Central Repository

It is the department's policy to fingerprint all persons arrested for felonies and misdemeanors. The Tracking Number is transcribed from the fingerprint card to the Arrest Report and is then typed onto the Complaint. However, the TN does show up on the department's computer system, but it is not used. The department also uses its own system of case numbers, which are typed onto the Complaints.

The department uses the state Uniform Arrest Report for all arrests. The department is also involved in the new NIBRS system and has added all of the FBI-required fields to its computer system (the shaded sections of the arrest and incident forms). The department received funds to change its software to support the new system. The state provided the

department with a list of acceptable vendors for NIBRS software. The department selected the vendor that developed its overall computer system. However, the central repository cannot yet accept the department's NIBRS data because of computer problems.

Currently, the department produces aggregate NIBRS data from its computer system and sends the data in hard copy form to the CR. Eventually, the plan is to have the department send the data electronically through the SPOTS terminals.

The department has two SPOTS terminals for conducting criminal records checks, and for conducting wanted persons checks and vehicle/license checks. A criminal records check is conducted during the booking process by the on-duty dispatcher. Criminal records checks are also conducted for investigations, bail hearings, and hiring decisions.

1.2.2 Interface with the Prosecutors

The referral of criminal cases for prosection is handled through manual procedures. After the Arrest Report is completed, the white copy is filed by the department, and the yellow copy is used by a clerk to type the Complaint. All four copies of the Complaint are sent to the city attorney (misdemeanors and violations) or county attorney (felonies). The Complaint is accompanied by the yellow copy of the Arrest Report. A copy of the Complaint is also made for the Department's files. The department maintains a handwritten log of Complaints for tracking purposes.

The prosecutor keeps the yellow copy of the Complaint. The department gets back one copy of the Complaint after the case is disposed. Motor vehicle complaints are sent directly to the clerks of court.

The department has had discussions with the City Prosecutor about a modem link to transmit disposition information. The City Prosecutor has its own automated system.

1.2.3 Interface with the Courts

In the case of felony arrests, the typical procedure is for the defendant to be arraigned in District Court the following day and for a bail hearing to be conducted. A probable cause

hearing is then scheduled, usually 2-3 weeks later. However, the probable cause hearing is often waived because a grand jury indictment is typically obtained in the interim. The case is then arraigned in Superior Court and another bail hearing is conducted. The District Court will not accept a guilty plea to a felony because the court cannot pass sentence. However, a District Court judge could dismiss a felony case at a probable cause hearing. After the case is arraigned in Superior Court, pre-trial motions are filed and a guilty plea can be entered.

The system of notifying the department of upcoming court hearings is manual. Every week, the District Court brings over a list of cases that are scheduled for trial, including the names of the officers who have to appear. These worksheets are then posted for the officers to consult. Officers are not required to appear for arraignments. For Superior Court, a police detective is assigned as the County Attorney liaison to assist in case preparation. This detective prepares lists of cases to notify officers when they have to appear at a trial.

The transmittal of information about court dispositions is a manual process which also involves the duplicate entry of disposition data onto multiple computer systems. The staff at the District Court hand-write the dispositions on copies of the worksheets that the officers consult to see if they have to go to court. Eventually, the District Court sends the department the yellow copies of the Complaints, which contain the disposition information on the back. There are often delays in receiving the disposition information from the courts. The District Court sends the Complaint forms to the department in boxes. It should be noted that there is no statutory requirement for the courts to notify local police departments of dispositions.

The department would prefer an automated procedure for the transmittal of disposition information from the District Court since the current processing of the disposition information is tedious. The larger problem is the disposition of property and evidence. The department is "bursting at the seams" with property and evidence because of the haphazard procedures for informing the department of the disposition of cases. A more uniform system would help the department to dispose of the property and evidence in a timely manner.

Manual procedures are also used to transmit disposition information from the Superior Court. The clerical staff at the court prepare a Disposition Sheet for each case. This includes the wording of the indictment and the disposition. The disposition information is then sent to the County Attorney by the Superior Court, and is entered onto the County Attorney's computer system. The department's liaison officer then picks up the disposition forms from the County Attorney's office and hand carries them to the department.

When the disposition information is received from the courts, it is entered onto the department's computer system. However, the department's system does not contain any space for narrative, so the only information that is entered on the system is basic information on names, findings, and disposition type. The department would prefer to be able to enter additional information on dispositions. Copies of the disposition forms are also placed in case records and are microfilmed after two years.

In the case of bench warrants that have been issued for arrestees who have failed to appear, the District Court sends the department a hard copy file of the cases if the department was the arresting agency. The warrants are then entered onto the department's computer system. Custody arrests, however, are not made on the basis of the computer data without first confirming with the District Court that the warrant is still current. The bench warrants are not entered onto the SPOTS system by the Concord District Court.

1.2.4 Interface with the Department of Corrections

The department's interface with DOC was said to be a problem because of the difficulty of getting access to information on the parole status of persons arrested by the department. During regular business hours, the department makes a telephone call to the Division of Field Services to determine if someone whom they have arrested is on parole. During non-business hours, the department may call the State Prison.

2. MANCHESTER POLICE DEPARTMENT

This section presents an overview of the current automation and interfaces of the Manchester Police Department.

2.1 Current Automation

The department has a UNISYS mid-range computer, which was initially acquired in 1988. The department has purchased a packaged software system from UNISYS known as "APLIMS." A number of dumb terminals and PCs are linked to the main computer.

Arrests are initiated on the system by entering data from the Uniform Arrest Report. The arresting officer completes the fingerprint cards and certain sections of the Arrest Report. The remaining sections are completed by a data entry clerk, who then keys the data onto the system. The system captures information on the offender, the arrest, bail conditions, restraining orders, trial dates, vehicle descriptors, warrants, citations and summonses, and warnings. Much of this information is automatically displayed by the department's CAD system to alert dispatchers.

The system is then updated to reflect dispositions from the courts. The system contains the booking number, an internal case number, the status of each charge (for example, pending court action), and court dates. The system modules include case management, crime analysis, warrants/citations, traffic accident analysis, evidence, and others. The department also maintains hard copy case files for all arrests.

The Department is reviewing the possibility of switching to either a PC-LAN or a UNIX box in less than one year, and new software may be acquired. However, the same data elements will be retained.

The department also has four SPOTS terminals connected to the Department of Safety.

2.2 Interfaces with Other Criminal Justice Agencies and the Courts

The primary interfaces between the Manchester Police Department and other criminal justice agencies and the courts are described below.

2.2.1 Interface with the Central Repository

The department's standard operating procedure is to fingerprint all persons arrested for felonies or misdemeanors. The Tracking Number (TN) is not entered onto the department's computer system. Instead, the system contains the booking number and the docket number. The fingerprint cards are transported to the Central Repository by an officer about two or three times per week.

The transmittal of criminal incident data to the Central Repository is conducted manually. The department's computer system has the capacity to produce UCR reports and the Department would like to send these reports to the Central Repository. However, the CR is not ready to accept them in their current form. (In addition, the Department was unable to obtain state funding to produce the required software). Instead, the department has to fill out the state's forms. The department has a full-time staff person assigned to completing criminal incident reports for all reported crimes. The department would like to transmit all of the data electronically to the CR when the NIBRS system is fully operational. The department has a NIBRS package on its current system, but it is not utilized. With the planned introduction of Mobile Display Terminals (MDTs), it is hoped that police officers may be completing their Incident reports electronically from their cruisers within the next few years.

2.2.2 Interface with the Prosecutors

For misdemeanor cases, the department refers cases to the city prosecutor for arraignment in District Court. The City Prosecutor and County Attorney are sent typed copies of the Complaint, together with the department's documentation on each case, so that they can prepare the prosecution. There is no automated interface with the prosecutors.

2.2.3 Interface with the Courts

The interface with the courts is completely manual. The disposition information is transmitted to the department in the form of the Complaint abstracts. The information from

the abstracts is then key entered onto the department's computer system. This includes the dispositions for each charge.

2.2.4 Interface with the Department of Corrections

The central office of the Division of Field Services sends the department a monthly list of new parolees who are under intensive supervision. The lists include the name and address of the offender, identifying characteristics, employment data, the name of the Probation/Parole Officer, parole/probation conditions (for example, curfews, no driving, or no alcohol), expiration date, and other items. The data is then keyed into the department's computer system. The list does not include parolees who are not under intensive supervision.

The data on parolees is automatically transferred into the department's CAD system. When the dispatcher receives a service call and enters the name or address of a person who is under intensive supervision, the CAD system automatically notifies the dispatcher of the person's status.

3. MERRIMACK COUNTY SHERIFF'S DEPARTMENT

The current automation and interfaces of the Merrimack County Sheriff's Department are described below.

3.1 Current Automation

The sheriff's department implemented an automated system about two years ago. The system is a standard package that was adopted from another county with modifications. In criminal cases, the system is used to enter data on persons arrested and on the dispositions of the arrests. The system also supports the department's dispatch operation.

The hardware for the system includes a large PC and seven workstations. The system is not networked with any other agency, although the department would like to be able to network with the courts, the County Attorney, the county jail and the State Prison.

3.2 Interfaces with Other Criminal Justice Agencies and the Courts

The primary interfaces between the sheriff's department and other criminal justice agencies and the courts are described below.

3.2.1 Interface with the Central Repository

The Merrimack County Jail does almost all of the sheriff's department's bookings, including the fingerprinting, the completion of the fingerprint cards, and the transmittal of the cards to the Central Repository. The sheriff's department is given extra copies of the fingerprint cards for its own files.

Most of the arrestees are persons who have not shown up for Superior Court hearings after being indicted. Not all of these defendants have been previously arrested because the indictment may have been secret or may have resulted from an investigation rather than an arrest. In the latter type of case, the defendant will have been given an opportunity by the Superior Court to appear without first being arrested. The sheriff enters the name of the defendant into the NCIC if they do not appear in response to the Superior Court notice of indictment.

The sheriff's department has two SPOTS terminals for running criminal records checks. One of the SPOTS terminals is used to support the sheriff's 24-hour dispatch operation. The department dispatches for 14 towns in the county.

The department updates the NCIC warrants once per year. The department is attempting to develop a system for determining when warrants become stale and should be quashed. At the current time, the department has about 250 criminal warrants.

The sheriff's department maintains an Arrest Log showing the date of each arrest. The arresting officer also completes the UCR Arrest Report. The department is not yet transmitting arrest data electronically for the NIBRS system.

3.2.2 Interface with the Prosecutor

The sheriff's office receives the arrest warrants from the court in cases where the defendant has failed to appear in Superior Court. These are manually transmitted.

When an arrest is made by the sheriff, the arresting officer does not usually fill out a Complaint. Instead, the County Attorney's Office issues an indictment that goes before the grand jury.

3.2.3 Interface with the Courts

The current interfaces are manual. The arrest warrants are prepared by the Superior Court. They used to be called capiases but are now known as "Orders of Arrest." They are sent in hard copy form by the Superior Court.

Information from the arrest warrant is key entered onto the department's computer system (such as the name, date of birth, and the offense). Copies of the warrant are made and the warrant is filed alphabetically. The Deputy assigned to the case is given a manila folder with a copy of the warrant. A NCIC check is done at this time, and a red sticker is placed on the file folder of any person who is placed in NCIC.

The first step in enforcing the warrants usually involves visiting the defendant's home address if available. The deputy keeps an activity log in the manila folder, including efforts to make the arrest, NCIC checks, and actual arrests.

At the time of disposition, the Superior Court sends the sheriff the hard copy Complaint/Disposition forms. The department receives dispositions on all criminal cases in the county, not only the cases for which the department has made the arrest. The clerical staff reviews the dispositions to identify those cases where the department made the arrest. These dispositions are then key entered onto the department's computer system and also placed in hard copy files. The dispositions that are not the department's cases are discarded.

With regard to prisoner transportation, the department receives hard copy transportation orders from the Superior Court and the District Courts whenever a hearing or trial is scheduled. Most of the defendants are housed at the county jail. The jail provides

the department with a regular hard copy list of current inmates. The department reviews this list whenever they receive a transportation order from the court, and then contacts the jail by telephone to notify the jail of the transportation order.

3.2.4 Interface with the County Jail and State Prison

When the deputy makes an arrest, the defendant is booked at the county jail, and the jail is given a hard copy of the Arrest Order and Indictment. The jail has automated its operations in the last two months. The sheriff's department has the capacity to network with the jail and obtain access to the jail's booking list and roster of inmates. The department would like to obtain on-line access to the jail's inmate data to facilitate the prisoner transportation function. Currently, the department has to call the jail to verify that an inmate is being held.

The department also transports a large number of inmates from the State Prison for court hearings and trials at the Superior and District Courts. The department's interface with the prison is manual.

4. STATE POLICE TROOP C AT KEENE

Troop C's jurisdiction includes the counties of Cheshire and Sullivan. By law, the Troop does not have jurisdiction in towns that have population of more than 3,000 and that have full-time police departments. The Troop mostly covers the smaller towns with part-time police departments, as well as state highways. In addition, the Troop covers towns that do not have police departments.

4.1 Current Automation

The Troop has an automated system based on an IBEX SP 500. The computer is connected to the Central Repository by modem link. This link was established under the NIBRS initiative to allow for the electronic transmission of criminal incident and arrest data to Concord. However, the Troop has yet to transmit any NIBRS data. The Troop was planning to begin sending some of the data by diskette.

There is a time lag in the entry of criminal reports on the system because of other assignments. The secretary was currently working on entering data for late March and early April.

4.2 Interfaces with Other Criminal Justice Agencies and the Courts

The primary interfaces with other criminal justice agencies are described below.

4.2.1 Interface with the Central Repository

The Troop does not fingerprint all arrestees. All felony arrestees are fingerprinted, but many misdemeanor cases are not fingerprinted because of staff time limitations. DWI cases have never been fingerprinted by the Troop, even though the Keene PD fingerprints its own DWI cases.

Some arrestees are booked at the Troop but only if the arrest is made in the local area. If the arrest is made in a remote location (for example, Claremont), the booking will be conducted at the local PD in that area. Most of the arrests made by the Troop are actually booked at local PDs. The county jail (located in Westmoreland) is also used for booking.

If one of the Troop's arrests is booked at another location, the fingerprint cards, the Incident Report, the Arrest Report, and other paperwork still has to be processed at the Troop. This can cause time lags in the processing of the fingerprint cards.

The fingerprint cards are sent to Concord twice per week by courier. The cards are completed by the officer and clipped to the Arrest Report for processing by the Troop's secretary, who enters the data onto the computer system. The state card and the FBI card are sent immediately to Concord, and the Final Disposition Report (for felonies only) is sent after the Troop receives the disposition from the court.

The Supervising Sergeant reviews the fingerprint cards before they are sent to Concord. **There is a time lag of 10 days to three weeks in the shipment of the fingerprint cards to Concord.**

The Tracking Number (TN) is transcribed from the fingerprint card to the Arrest Report and is entered onto the computer system. The Arrest Report is not sent to Concord with the fingerprint cards, but the incident report data is sent by printout.

All of the local PDs in the Troop's jurisdiction, except for the Keene PD, have to go through the Troop to get access to the Central Repository through SPOTS. Keene PD has its own SPOTS terminal.

The troop has been participating in the NIBRS system for about one year. The clerical staff enter the required FBI data from the Incident Report (DSSP-10) onto the computer. This report has to be entered within 5 days of the crime being reported. The required data from the Arrest Report is then entered if an arrest is made. In addition, the required data from the Victim Supplement is entered (see Appendix).

4.2.2 Interfaces with the Prosecutors

In misdemeanor cases, the Troop does its own prosecutions at the District Courts. This includes cross-examination and presentation of charges. In felony cases, the arresting officer appears at the arraignment in District Court, where the case is set for a probable cause hearing, unless an indictment is handed down first. The Complaints and other documentation are transmitted manually to the County Attorney.

4.2.3 Interface with the Courts

In misdemeanor cases, the Complaints and other supporting documents are presented to the District Court at the time of arraignment. In felony cases, these materials are transmitted to the County Attorney for prosection.

The Superior Court notifies the Troop of all dispositions through a computer printout. In the case of misdemeanors, the arresting officer is usually present at the District Court when the disposition occurs, so the officer writes down the disposition on a piece of paper.

The dispositions are subsequently entered onto the Troop's computer system by the secretary. The courts notify the Central Repository separately of the dispositions.

D. ATTORNEY GENERAL'S OFFICE AND COUNTY ATTORNEYS

This section presents an assessment of the current automation and interfaces of the Attorney General's Office and the County Attorneys.

1. ATTORNEY GENERAL'S OFFICE

The Attorney General's (AG's) Office is responsible for prosecuting all homicide cases and other felonies which carry a potential prison term of 25 years or more. The Attorney General's office also represents all state agencies in legal cases (the individual agencies do not have their own attorneys). The AG's Office has specialized prosecution units, including a Medicaid fraud unit, a white collar unit, and a drug prosecution unit. The AG represents the state in all appeals of criminal cases to the Supreme Court.

The Attorney General is the chief law enforcement officer in the state. While the AG does have authority to direct and control the county attorneys (who are elected officials) in the handling of criminal cases, this authority has been used sparingly. The AG, however, can direct a county attorney to nolle prosequi a case or to take over a case being handled by the AG's office. The county attorneys represent the Attorney General in criminal cases when the AG is not present in the Superior Court.

The AG's office cannot direct the county attorneys to install specific computer systems. However, the Director of Administration believes that the county attorneys would be willing to follow the lead of the AG's office in the automation area.

The AG's Office has 47 Assistant Attorney Generals (AAGs), but only about one-third of these are assigned full-time to criminal cases. The AG's Office also controls all of the federal criminal justice funds allocated to New Hampshire by the U.S. Department of Justice.

In addition to the county attorneys, New Hampshire has a small number of attorneys who handle prosecutions at the District Courts in cities such as Concord and Manchester. These prosecutors are ultimately responsible to the AG, but most direct supervision is provided by the county attorney.

1.1 Current Automation

The Attorney General's Office currently has a Wang VS-7120 mid-size computer located at its main office in Concord. A number of PCs, dumb terminals and printers are connected to the Wang. The AG's Office is dissatisfied with its current system for a number of reasons, including:

- the lack of networking and interfaces with other state agencies and other facilities of the AG's office,
- the system's very limited management reporting capability, and
- the limited functionality of the home-grown software.

The current automated system is also not very sophisticated. It is used to capture basic data on the defendant, the venue of the criminal proceedings, the opposing counsel, a brief narrative on the offense, and data on the investigation, prosecution, disposition, and sentencing. The system also includes a tracking component to ensure that court appearances are made.

The AG's Office has appointed a Senior Management Committee to develop a Strategic Plan for Information Technology. This plan is due to be completed by the end of the summer. The focus of the plan will be to develop a variety of networks within the AG's headquarters building and with other AG facilities and to promote communications with the AG's client agencies and opposing counsel. The headquarters building has already been wired for this purpose. OITM will be assigning a staff person to address the automation needs of the AG's Office. The AG's Office has put in a capital budget request to replace the Wang with new equipment.

The AG's Office is planning to standardize on WordPerfect 6.0 for word processing and Quattro Pro as its spreadsheet application. The AG is also planning to borrow a Time and Billing system from a local major law firm. This will be used to track the time spent by staff on criminal and civil cases and to compute litigation costs.

The Director of Administration did not have information on the automation of the individual county attorney offices. He believed, however, that only the four largest counties (Hillsborough, Rockingham, Merrimack and Strafford) probably had automated systems to

handle case management functions. Most of the other county attorneys are 2-3 person operations and probably have only word processing. MAXIMUS will obtain systematic information on the automation of the county attorneys during Phase II of the project.

1.2 Interfaces with Other Criminal Justice Agencies and the Courts

The primary interfaces between the Attorney General's Office and other agencies and the courts are described below.

1.2.1 Interface with the Central Repository

The AAGs request a criminal record for all defendants in their cases, as well as a criminal record for all persons on the juror's list. A written request is sent to the Central Repository. The AG's Office has a SPOTS terminal.

The AG's Office does not need a certified copy of the criminal records because the information is used only as part of a criminal investigation and for making a charging decision. Pre-Sentence Investigations (PSIs) in the AG's cases are done by the DOC Division of Field Services. However, the AAGs make sentence recommendations based on the PSI report.

1.2.2 Interface with Law Enforcement Agencies

The AG's office is notified directly by local law enforcement agencies of all intentional homicides, and arrests must be approved by the AG's Office. An AAG is typically assigned to visit the crime scene and conduct the investigation. The local law enforcement agency provides the AAG with detailed information about the case at this time.

The AAGs are then responsible for prosecuting the cases, from arraignment to appeal. There is also a Drug Task Force that operates out of the AG's Office and that works with law enforcement agencies on high-level drug offenses.

The specialized prosecution units within the AG's Office focus their enforcement efforts on conspiracy offenses or cases requiring the use of extensive grand jury process or

court-ordered electronic surveillance. These cases necessarily often involve the prosecutors at the investigative phase.

1.2.3 Interface with the Courts

When a Superior Court is planning to hold a hearing on one of the AG's cases, the AG's office receives a piece of paper from the court to this effect. The AG's office has no automated access to any of the courts' scheduling systems (for example, through SUSTAIN).

With regard to dispositions, the AAGs automatically obtain the information they need when they are at the court for the hearings and trials. The AAGs then fill out a form to record the disposition information and provide this form to a clerical staff person at AG headquarters for keying into the automated system. The local courts maintain the complete paperwork associated with each case.

However, in the types of cases handled by the AG's office, there are usually many appeals and motions after a conviction has been obtained. The AG's Office has to be notified by the local courts of these appeals and motions through manual procedures. Often, the AG's office receives a courtesy copy of the appeals and motions from the defendant's counsel.

Witness costs are another key interface area with the courts. The AG's Office is responsible for paying the witnesses who appear in all criminal cases statewide. Currently, all of the information on witnesses is transmitted to the AG's Office on paper forms by the individual courts. Automation of this function would be very helpful, according to the Director of Administration.

In terms of automated interfaces, improving the interface with the courts was ranked as the most important from the AG's perspective.

1.2.4 Interface with Probation and Parole

The AG's office does not get involved in parole issues or in monitoring the probation of offenders.

2. COUNTY ATTORNEYS

To obtain information on the current automation and interfaces of a typical large county attorney's office, MAXIMUS conducted site visits to the Merrimack County Attorney's Office in Concord. The Merrimack County Attorney's Office has six Assistant County Attorneys (ACAs) assigned to criminal cases. The agency also has two Victim-Witness Coordinators whose responsibility includes notifying victims and witnesses of the status of cases.

2.1 Current Automation of the Merrimack County Attorney's Office

In 1987, the County Attorney's Office acquired a software system called "D.A.'s Assistant" which is a prosecutor's management support system. In terms of hardware, the agency has a PC-based LAN system with a 386 PC server. The system is not connected to the courts or other agencies.

The agency is not satisfied with its current system because of limited functionality. It is difficult to merge the database with the agency's word processing system for such purposes as correspondence.

For example, the agency's two Victim-Witness Coordinators have to send approximately 150 letters per week to victims and witnesses for trial notifications and other matters. The current system allows for certain information in the database to be merged with word processing. This is done through a conversion process. This process is not easily performed and is time-consuming. It is less complicated and less time-consuming just to duplicate the information, re-entering it directly into word processing. The agency wishes to acquire a document-driven system that will automatically extract the names of victims and witnesses and merge them into documents. In addition, the current system is inadequate for creating subpoenas. The system simply generates a list of the names of persons to whom subpoenas should be sent.

The agency is currently assessing alternative systems. One of these is the JALAN package, which is an IBM program designed to run on an AS-400. The JALAN system reportedly has the capacity to be integrated with the courts and law enforcement agencies.

2.2 Interfaces Between the Merrimack County Attorney's Office and Other Criminal Justice Entities

The primary interfaces between the Merrimack County Attorney's Office and other criminal justice entities are described below.

2.2.1 Interface with Law Enforcement Agencies

When a case is referred to the County Attorney by a local arresting agency, the County Attorney prefers that the case be sent in on the Felony Case Referral Sheet (see copy in the Appendix). Police Departments are asked to fill out the sheet, and the secretaries at the County Attorney's Office use the sheet to establish the case on the automated database. If the criminal record is not included in the initial case referral information, the County Attorney must request certified copies of each record from the CR.

In addition to the Referral Sheet, the local police departments send the following materials:

- a copy of the Complaint;
- a copy of the Arrest Report;
- copies of the bail paperwork;
- a copy of the search warrant (if used);
- a copy of the affidavit for the arrest; and
- evidence, investigation reports, and statements of witnesses.

The package submitted to the County Attorney's Office by law enforcement agencies is the preliminary material which is reviewed by an Assistant County Attorney (ACA) to determine whether there is sufficient evidence for indictment, further investigation required, or other recourse. If indictment is sought, it is presented to the Grand Jury and, if found to be a true bill, the indictment is filed with the Superior Court.

When the Referral Sheet is received, the agency opens up a case on its automated system, using a unique in-house ID number for each case. The agency does not use the TN assigned by the police department. For security reasons, the agency's in-house number is not the same as the docket number used by the courts.

In establishing the case on its automated system, the agency enters such information as the arresting agency, the jurisdiction, case type, case level, case status (for example, open. closed, pre-indictment, pre-investigation), authorized charge, date of offense, date of arrest, bail status, custody status, attorney assigned, and defendant information. The systems's Event Screen is used for case tracking and scheduling (including arraignment, trial, pleadings, motions, hearings, sentencing and other events).

2.2.2 Interface with the Central Repository

The County Attorney's Office needs to obtain certified copies of criminal records if the records are going to be introduced in court. The agency uses a form letter produced from its word processing system to request the criminal records from the Central Repository. The certified criminal records are used mostly for sentencing purposes, not usually for the charging process. Criminal records are also requested immediately if there is a bail issue.

If the case involves a "DWI Subsequent," Habitual Offender, Felon in Possession, Enhanced Drug Offense, or any other case where the prior conviction is an element of the charge, the County Attorney must request the certified copies of the conviction immediately, as this information is needed in drawing up the charges. In habitual offender cases, the motor vehicle habitual offender certification documents are needed for charging purposes. New Hampshire criminal records are requested to determine if there are prior convictions, and New Hampshire Motor Vehicle records are requested to determine if Habitual Offender paperwork or other relevant paperwork is needed.

The County Attorney's Office also requests non-certified copies of criminal records for all potential jurors. Once per month, the agency draws up a new petit jury panel. This results in about 50 requests per month for non-certified criminal records.

Mailing the requests for criminal records from the CR does not always fit the time constraints, so it is not unusual for County Attorney staff to hand deliver a written request for records and to arrange for same-day retrieval of this information.

The Central Repository is used to obtain certified and non-certified copies of New Hampshire Motor Vehicle and Criminal Records. NCIC Triple I checks for criminal records

are obtained from the Sheriff's Department. If the NCIC Triple I check indicates that the defendant has a conviction in another state, the County Attorney has to contact the other state to obtain a certified copy of the criminal record.

2.2.3 Interface with the District Courts

All felony cases that result from an arrest are scheduled for arraignment in District Court. If the defendant has waived probable cause or if a finding of probable cause is made by the District Court, the complaint is forwarded to the County Attorney in an initial referral package. The County Attorney also receives appeal cases from the District Courts. Felony cases in which an arrest has not been made are arraigned at the Superior Court following indictment.

2.2.4 Interface with the Superior Court

The County Attorney's Office does not have any automated interface with the Merrimack County Superior Court in terms of transmitting information on case scheduling, case processing, dispositions, or other activities. After a case has been indicted and filed with the Superior Court, the County Attorney receives a series of hard copy Hearing Notices from the Superior Court, which provide information on the defendant's name, docket number, pre-trial date, trial date, and other activities. This information is then key-entered by the clerical staff onto the County Attorney's automated database.

The County Attorney's Office then produces a manual Docket Board showing the hearings for the next ten weeks. Docket sheets are posted on the walls for review by the Assistant County Attorneys. Photocopies of the Hearing Notices are then sent to the Victim-Witness Coordinators to notify victims and witnesses of upcoming hearings and trial dates. A copy is also made for the Assistant County Attorney assigned to the case for inclusion in his/her Day Book.

At the time of disposition, the County Attorney receives a hard copy "Return From Superior Court" (or MITTIMUS). The information on the disposition is then keyed onto the County Attorney's database. The clerical staff pull up the case on the system, go to the

Sentence Screen, and enter the data on the type of sentence (for example, incarceration, probation, or fine), the sentencing date, the length of the sentence, the amount of the fine or restitution, and other data.

The disposition information is promptly sent to the County Attorney's office by the Superior Court. Due to the volume of paperwork processed daily by the County Attorney's Office, it is not always possible to enter the disposition data promptly onto their automated system. This results in a small backlog in data entry and frustration when producing current reports on case dispositions. If the JALAN system (or an equivalent system) is implemented, it is hoped that consideration will be given to developing an automated interface with the courts for the transmittal of disposition data and the sharing of other relevant case information.

Finally, upon receipt of the disposition, the Victim-Witness Coordinator contacts the victim by letter, or by both letter and telephone, to notify the victim of the case disposition and sentence information if applicable.

2.2.5 Interface with the Department of Corrections

The interfaces between the County Attorney and the State of New Hampshire Department of Corrections are manual in nature. At the pre-sentence stage, the Probation Officer who is preparing the PSI will be given a photocopy of the County Attorney's case file for the offender. The documents that are photocopied include the discovery side of the file, as well as the Indictment/Complaint, the Referral Sheet, the Arrest Report, and other documents. After the PSI has been completed, the PSI report is sent to the court, where the ACA may review it.

Another interface with DOC involves cases in which a sentence reduction motion has been filed. The County Attorney requests information on the defendant, such as disciplinary history while incarcerated, and the amount of good time accumulated.

An additional interface with DOC involves parole hearings and releases. Under state law, the victim must be informed of upcoming parole hearings and releases. The DOC

notifies the County Attorney of releases through a manual listing. The County Attorney's Office (Victim-Witness Coordinator) then notifies the victim of parole hearings and releases.

The County Attorney also receives lists from the Merrimack County jail of persons who are incarcerated pre-trial and a summary list of post-sentence inmates. This list is mailed or hand-delivered by carrier.

E. DEPARTMENT OF CORRECTIONS (DOC)

This section presents an overview of the current and planned automation of the Department of Corrections, including the State Prison and the Division of Field Services. In addition, the existing interfaces with other criminal justices agencies and the courts are evaluated.

1. STATE PRISON

The State Prison in Concord currently houses slightly more than 2,000 offenders who have been sentenced for felonies.

1.1 Current Automation

The Department of Corrections is in the process of implementing an automated system to process and store information on offenders sentenced to the State Prison. Currently, the only automation that exists at the State Prison is a small system that produces a weekly roster of inmates, including name, cell number, admission date, and a few other items.

The new system will automate the Offender Records Office at the prison and will cover such information as sentences, offender information, jurisdiction, admission date and a large array of other information. The system will also compute release dates and provide a variety of management reporting options.

The system will be installed on a BULL DPX 20-610 mid-size computer with 64 megabytes of RAM. The computer is actually an IBM product with a BULL sticker. It will operate on IBM's AIX operating system (which is IBM's version of UNIX).

The computer has already been purchased and is situated at the State Prison. About a dozen dumb terminals and at least six PCs will be connected to the computer but these are not yet operational. Currently, the terminals and PCs are operational for word processing and spreadsheets but not for applications systems.

The system will use the INFORMIX relational database management system. The applications software will be a customized version of Base Software, Inc.'s Jail Management System package. This package is currently being used by a number of counties in Massachusetts. The primary functions of the "offender records" component of this software include:

- sentence management;
- event data, such as classification changes;
- housing assignments;
- inmate payroll; and
- basic crime information, including the New Hampshire RSA code.

The system will capture or compute information on the demographics and physical characteristics of inmates, sentence dates, sentence length, good time earned, disciplinary days, minimum sentence before parole, and other variables. The system will also include an automated tickler to notify DOC officials of upcoming release dates and parole hearings. The data on current inmates will be converted to the new system using part-time Data Entry Operators.

At the current time, a large amount of information is collected on each new inmate when the inmate arrives at the State Prison's Reception and Diagnostic Center. The inmate is interviewed by a correctional officer using an Initial Intake Form. This information includes such items as physical characteristics, ethnicity, marital status, previous address and other items. Most of this information will be entered onto the new system when it is operational, although the information is not verified.

DOC is planning to implement the new system in December 1994. However, delays are possible because of the extensive modifications that are being made to the applications software. The system will only cover inmates, not persons on probation. However, it is hoped that data on parolees will be merged with the new system. The data on parolees is currently maintained by the DOC Division of Field Services on a BULL mainframe at the Department of Health and Human Services (see below). The problem will be to transfer the data from the DPS 90 system to UNIX.

Although DOC will be introducing the new system later this year, there are currently no plans to provide other criminal justice agencies with access to the system or to develop any automated interfaces with other agencies. Nor is DOC planning to capture Tracking Numbers (TNs) on the new system since they have not been advised on this issue. However, space is available for including a TN on the system. The state prison, however, does not receive a copy of the criminal Complaint, only the Order from Superior Court.

Under the new system, each offender will be given a permanent ID number. This will replace the current procedure where inmates are given new ID numbers each time they are returned to prison for parole violations.

When the new system was originally being planned, DOC was intending to include the Division of Field Services in the system. However, the projected costs for the fully integrated system were in excess of funds available, so the plan had to be amended to exclude the Division of Field Services.

1.2 Interfaces with Other Agencies and the Courts

The primary interfaces between the State Prison and other criminal justice agencies are described below.

1.2.1 Interface with the Courts

The current interfaces are manual. When an offender is sentenced to State Prison they are sent with the MITTIMUS and the Presentence Investigation (PSI) Report. The sentence is then manually computed. The Offender Records Unit at the prison completes a

number of forms and sets up a manual case record for each inmate. After the inmate is sentenced, the State Prison receives very few requests for information from the courts.

1.2.2 Interface with the Parole Board and the Division of Field Services

The Offender Records Unit at the State Prison is responsible for ensuring that inmates are scheduled for the Parole Board hearings on their eligibility dates. The Parole Board itself, however, is responsible for handling all subsequent processing of the inmates with regard to the parole hearing, including:

- o publishing notices of upcoming hearings, and
- o notifying the Central Repository of any releases on parole.

An inmate who is eligible for parole goes before the Parole Board two months before becoming eligible for parole. The Offender Records Unit uses manual procedures to identify the inmates who must be scheduled for parole hearings during specific time periods. It is hoped that the new system will perform this function automatically.

When an inmate is scheduled for a parole hearing, the Parole Board is given the inmate's file by the Offender Records Unit. The Parole Board staff then make copies of the file contents, including:

- o the Pre-Sentence Investigation report,
- o the NCIC rap sheet,
- o information on the institutional behavior of the inmate,
- o verification of work and residence,
- o counselor input,
- o treatment programs completed, and
- o the parole plan.

The Parole Board staff also maintain their own files on each inmate. These files are sent down to the district field office (probation and parole) in the district where the paroled inmate will be living. The Parole Board staff also make copies of the files for the three members of the Parole Board.

1.2.3 Interface with the Local Victim-Witness Coordinators

The Offender Records Unit is responsible for notifying the county Victim-Witness Coordinators of releases involving the expiration of sentences or court-ordered releases, while the Parole Board is responsible for notifying the Coordinators of all parole releases. These notifications are currently conducted manually. A manual tickler system is used by the Offender Records Unit to identify the upcoming sentence expiration releases, and the Coordinators are then notified by telephone. There are plans to automate the tickler system, but not the notification process, in the new DOC automated system.

1.2.4 Interface with the Central Repository

There are currently no plans to develop an automated interface with the Central Repository when the new DOC system is installed. The Offender Records staff currently request a rap sheet from the FBI on all new inmates at the time of intake. In addition, all new inmates are fingerprinted at the State Prison. A total of five fingerprint cards are produced for each inmate. One of these is sent to the FBI, who sends back a rap sheet. Four of the cards are sent to the Central Repository, but a rap sheet is not requested because DOC already has a rap sheet from the Central Repository as part of the Presentence Investigation. The State Prison gets one of the fingerprint cards back from the Central Repository with a classification.

1.2.5 Interface with the Attorney General's Office

The State Prison receives an estimated 4-5 requests for information each month from the Attorney General's Office for information on cases where an inmate has filed a writ of habeas corpus. The writ may involve the length of the sentence, good time, or medical issues. The Offender Records Unit researches the case record and transmits the requested information manually to the Attorney General's Office.

1.2.6 Interface with the County Attorneys

Under New Hampshire law, inmates can file for a sentence reduction after serving two years. If an inmate files a motion for sentence reduction, the County Attorney in the appropriate jurisdiction is notified. The County Attorney then asks the Offender Records Unit for a "court synopsis" of the offender's case file. Based on this synopsis, the Warden makes a recommendation to the court. It was estimated that the Offender Records Unit prepares between 12 and 15 court synopses per week. The information is transmitted manually to the County Attorneys.

2. DIVISION OF FIELD SERVICES (PROBATION AND PAROLE)

The DOC's Division of Field Services has two primary functions:

- o conducting Pre-Sentence Investigations, and
- o supervising offenders on probation or parole.

The Division has a District Office in each county, except that there are two District Offices in both Hillsborough and Rockingham counties, for a total of 12 offices. There is also a High Intensity Supervision Unit that supervises (1) offenders who are under intensive supervision, and (2) the electronic monitoring cases statewide. Each District Officer has a Chief Probation Officer. There are currently a total of 57 Probation/Parole Officers statewide. The District Offices are also responsible for collecting criminal fines in cases where offenders have been placed on probation.

The current caseload of the Division includes about 4,100 persons on probation, about 800 parolees, and about 200 persons in bail supervision. There are about 800 interstate cases, involving (1) New Hampshire offenders living in other states, and (2) offenders from other states living in New Hampshire. The latter cases are monitored by the Division on its automated system.

2.1 Current Automation

The Division has its own automated system that runs on the BULL computer housed at the Department of Health and Human Services. The information on the system is keyed in at the District Offices. The system contains basic case information on each offender, including name, address, identifying information, demographics, type of offense, restitution orders, fines, payment plans, name of the Probation/Parole Officer, supervision level, active violations, violent v. non-violent offender, probation/parole terms and conditions, and other items.

The system generates caseload reports on types of cases, collections (restitution, fines and fees), and other items. The system also generates the following specific management reports:

- o master alpha list of current offenders on probation or parole;
- o city/town caseload report for distribution to local police departments (see below);
- o an Investigations Report listing the offenders who have been investigated by the Division for PSIs or for pre-parole investigations;
- o workload reports;
- o Action Due Report, listing persons who are to be terminated from probation or parole or whose cases are to be reviewed for supervision classification;
- o financial report of arrearages on criminal fines;
- o a Termination Report listing persons who have been terminated from the Division's jurisdiction; and
- o Interstate Compact reports listing persons whom the Division is supervising for other states and vice versa.

The District Offices have PCs which are hooked up to the BULL through land line communications. The Division pays a monthly fee to HHS for use of the computer. The monthly cost has been increasing because other state agencies have been discontinuing their use of the HHS mainframe.

Clerical staff at the District Offices use the PCs to enter new cases and to update the cases based on such events as violations and transfers. The Probation/Parole Officers fill out

forms and provide the forms to the clerical staff for key entry. The information that has been entered by the District Offices is integrated immediately into the existing database.

The District Offices also have an inquiry capability and E-mail. Each of the District Offices can review all probation and parole cases statewide but can make changes only to its own cases. No other criminal justice agencies have access to the Division's automated system.

There are a number of limitations to the current automated system, from the Division's own perspective. First, it has a very limited ad hoc management reporting capacity. The staff have to design special reports and ask the Division's programmers to prepare coding to run the data. This often takes several days.

Second, much of the information available from the system can be accessed only by entering the names of offenders on a case-by-case basis. Third, the system is not user-friendly or state-of-the art (the system was developed about 15 years ago).

Finally, the system does not allow real-time access to ad hoc management reports for special analyses.

In terms of future automation plans, the Division may either acquire its own processing hardware instead of the HHS mainframe, or may investigate the option of linking with the State Prison's new system or the local Superior Court's system. The Division has requested a $2.7 million capital improvement budget for the 1995-96 biennium, but is not sure how much money will actually be appropriated.

The Division supports the concept of an integrated criminal justice information system in which the District Offices and Central Office would have ready access to a variety of information maintained by other criminal justice agencies.

2.2 Interfaces with Other Criminal Justice agencies and the Courts

The Division's primary interfaces with other agencies are described below.

2.2.1 Interface with the Central Repository

Criminal record checks are used by the Division to help arrive at the recommendations contained in the Pre-Sentence Investigations. The PSIs are conducted by the District Offices. In addition, criminal records checks may be conducted in the case of offenders who are on parole or probation and who have relocated to Hew Hampshire.

The information in the criminal records is later used by the District Offices to assign a Supervision Contact Standard to each offender. For example, offenders with lengthy criminal records may be assigned a high level of supervision based on projected risk. Criminal record information is also used to make "early termination decisions." Each case has benchmarks where an early termination of probation or parole may be considered. Records checks are conducted as part of making these decisions.

The headquarters office of the Division has a SPOTS terminal and conducts most of its records checks through this terminal. None of the District Offices has a SPOTS terminal, so that requests for criminal records information have to be routed through the central office. However, some District Offices are able to use SPOTS terminals at local law enforcement agencies.

For PSIs, the District Offices have to complete a standard form and mail it to the central office to make a request for criminal records information. This is the form that is used to request a NCIC check. The resulting information is then mailed back to the District Office. The Division also conducts criminal record checks on all new hires,

The Division sends a letter once per month to the Central Repository on all persons who have been paroled in the preceding month. The respondents were unsure whether the Central Repository is routinely informed by the District Offices about probation and parole revocations.

2.2.2 Interface with Law Enforcement Agencies

Law enforcement agencies do not have access to the Division's automated system to find out if an arrestee is on probation or parole. Instead, the Division conducts a computer run every 30 days on its current caseload.

The hard copy printouts are sent to the District Offices, which then distribute hard copy listings to each local police department. Some police departments (such as the Manchester Police Department) then key enter this data onto their automated systems, and the information can be automatically called up to alert dispatchers to the fact that a probation or parole client is involved.

Most police departments, however, simply conduct a visual cross-check of the lists to determine if an arrestee is on probation or parole. It is important for the local police departments to know the arrestee's probation or parole status so that they are not released on bail until the Division has had the opportunity to decide whether they should be detained pending subsequent violation proceedings.

As a recent refinement, the Division has developed an agreement with DOS and the Department of Motor Vehicles (DMV) to establish a data link with the Division's network. On a weekly basis, the Division creates a tape of all active offenders on probation or parole and hand carries the tape to the DMV, which downloads the data into its automated system. With this approach, a police officer who stops someone for a vehicle check can find out if the person is on probation or parole. This system has only been in place for one or two weeks.

If a person on probation or parole is arrested, the appropriate District Office is usually notified by the arresting agency by telephone.

2.2.3 Interface with the Courts and Prosecutors

The Division is responsible for supervising bail status for certain defendants. The Division's current caseload of bail cases is about 200.

With regard to Pre-Sentence Investigations, the court notifies the District Office that a PSI is necessary. This is accomplished by sending a hard copy form indicating that the defendant has been convicted or has plead guilty. The District Office has 30-45 days to prepare the PSI.

The Division receives all of the probation cases from the local courts. The local District Offices receive a form from the local courts stating the terms of the probation sentence.

The District Offices make the decision whether to recommend a probation or parole violation in the event of a re-arrest or other violation. In the event of a probation violation, the case must be referred to the appropriate County Attorney for prosecution and to the court for a decision. The District Office transmits the paperwork to the county attorney and to the court. This process involves photocopying of case documents and manual transmittal of the copies. The District Office also updates the Division's automated system to reflect this action. The courts and county jails update their own automated systems to reflect the action.

If a bench warrant (capias) is issued for an offender who has violated probation, the county sheriff enters the information on SPOTS. In the case of parolees, the Division itself enters the information on SPOTS.

2.2.4 Interface with the Parole Board

If a District Office wishes to revoke parole, the case must be referred to the Parole Board for a hearing. This process is handled manually. The Executive Assistant of the Parole Board does all of the scheduling of revocation hearings, which are conducted at the State Prison. The revocation hearings must be conducted within 30 days of the arrest. The Board meets once every two weeks.

The Parole Board does not have its own automated system, except for word processing and simple case tracking. The Parole Board is not linked to the Division's automated system. In the case of a parole revocation, the Probation/Parole Officer at the District Office prepares the paperwork for the Parole Board, including the offender's

criminal record and details of the current violation. This information is transmitted manually to the Parole Board.

CHAPTER III

FUNCTIONAL REQUIREMENTS AND SYSTEM MODULES FOR THE CRIMINAL JUSTICE INFORMATION SYSTEM

CHAPTER III: FUNCTIONAL REQUIREMENTS AND SYSTEM MODULES FOR THE CRIMINAL JUSTICE INFORMATION SYSTEM

In the previous chapter, we described the current automated systems in place in the judicial branch and in the different criminal justice agencies. We also reviewed the processes and interfaces that are currently handled through manual procedures.

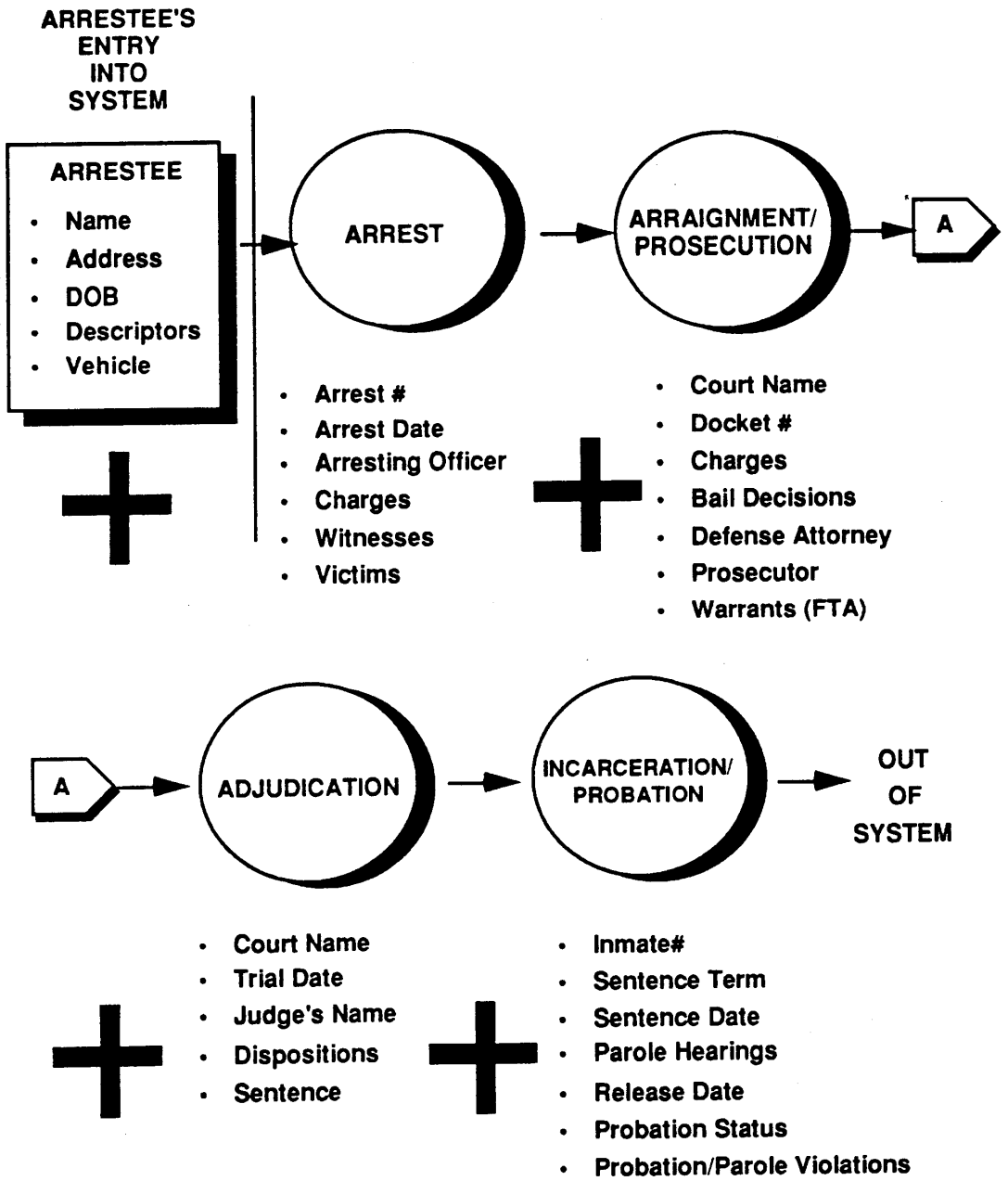
This chapter presents a review of the major functional requirements and system modules for the New Hampshire CJIS. The chapter is based on interviews that MAXIMUS conducted with criminal justice officials during Phase II of the project. The goal of these interviews was to identify specific processes and interfaces that would benefit from the implementation of a comprehensive CJIS.

A functional requirements analysis is an important first step in the planning and development of a large-scale automated systems involving multiple organizations. The functional requirements analysis provides the basis for subsequent development of the General Design for the system and for the assessment of alternative system architectures. The preliminary functional requirements analysis presented in this chapter provides only an overall assessment of the basic requirements for the CJIS. During subsequent planning and design activities, it will be necessary to conduct a more detailed requirements analysis involving work groups representing each of the criminal justice agencies and the courts.

Exhibit III-1 presents an overview of the data that are collected and shared on criminal defendants as they pass through different stages of the criminal justice system. The exhibit indicates that many data elements are carried through from one stage to the next and could be transmitted electronically if an effective system of automated interfaces were in place among the different criminal justice agencies and the courts. It should also be noted that data can flow backwards through the process.

Exhibit III-2 presents a matrix summarizing the key interfaces among the criminal justice agencies and the courts, focusing on the general types of information that are exchanged among these entities. The columns in the exhibit show the **users** of the information, while the rows in the exhibit show the **sources** of the information. This exhibit

Exhibit III-1
EXAMPLES OF KEY DATA ELEMENTS REFLECTING DIFFERENT STAGES OF CRIMINAL CASE PROCESSING



NOTE: Data can also flow backwards through the system

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Exhibit III-2
PRIMARY TYPES OF INFORMATION CURRENTLY EXCHANGED BY CRIMINAL JUSTICE AGENCIES AND THE JUDICIAL BRANCH

PROVIDING AGENCIES \ USER AGENCIES	CENTRAL REPOSITORY	JUDICIAL BRANCH	LAW ENFORCEMENT AGENCIES	PROSECUTORS/ ATTORNEY GENERAL	DEPARTMENT OF CORRECTIONS
CENTRAL REPOSITORY	X	• Criminal Records • Offender Identification	• Criminal Records • Offender Identification	• Criminal Records • Offender Identification	• Criminal Records • Offender Identification
JUDICIAL BRANCH	• Dispositions • Warrants (Pilot)	X	• Dispositions • Scheduling Information • Warrants • Restraining Orders • Prisoner Transportation	• Dispositions • Court Schedules • Bail Status	• Dispositions • Probation Terms
LAW ENFORCEMENT AGENCIES	• Arrests • UARs • Fingerprints • Criminal Incidents	• Arrest Information • Charges	X	• Bail Status • Arrest Information • Charges • Evidence • Investigation Reports	• Arrests of Persons on Probation/Parole
PROSECUTORS/ ATTORNEY GENERAL	• None	• Charges • Investigations	• Case Status	X	• None
DEPARTMENT OF CORRECTIONS	• Releases • Violations/ Revocations	• Inmate Status • Parole/ Probation Status • PSIs • Violations	• Probation/ Parole Data	• Parole Hearings • Releases • Sentence Reduction Petitions	X

9059-III-2-bt

serves to highlight the types of information that could be shared electronically through a CJIS network.

In the sections below, we describe the functional requirements for the new CJIS system with regard to the following major system modules:

- o the Arrests and Criminal Incidents Module;
- o the Prosecution, Case Scheduling and Court Hearing Module;
- o the Disposition and Sentencing Module;
- o the Pre-Sentence Investigation Module;
- o the Bench Warrants and Restraining Order Module; and
- o the Incarceration, Probation, and Parole Module.

For each of these proposed system modules, we present a brief synopsis of the limitations of current interfaces in the criminal justice system, followed by a description of functional requirements for the new system.

A. THE ARRESTS AND CRIMINAL INCIDENTS MODULE

The Arrests and Criminal Incidents Module of the new CJIS system will encompass the following major interfaces:

- o transmittal of arrest information to the Central Repository; and
- o transmittal of information on criminal incidents and arrests for federal reporting;
- o transmittal of arrest and charging information to the prosecutors;
- o transmittal of arrest and charging information to the courts; and
- o transmittal of criminal intelligence information.

1. TRANSMITTAL OF INFORMATION ON ARRESTS TO THE CENTRAL REPOSITORY

Under current procedures, the transmittal of information on arrests to the Central Repository is subject to delays and incomplete reporting. This undermines the integrity of the criminal history records information system. In addition, the current procedures result in

the duplicate recording of information and other time-consuming and error-prone procedures.

1.1 Limitations of Current Procedures and Interfaces

The current procedures by which local law enforcement agencies transmit information on arrests to the Central Repository are completely manual. The Central Repository receives the DSSP Fingerprint Cards from local arresting agencies through the regular mail or by courier. The Central Repository has asked each arresting agency to send in the fingerprint cards once per week. However, many of the smaller towns send in the cards once per month. Most of the fingerprint cards received from local police departments are complete. However, if information or signatures are missing, the cards have to be mailed back to the police department.

When a new fingerprint card arrives, the clerical staff conduct an inquiry on the name and date of birth to determine whether there is already a record for the defendant. The Central Repository staff key enter the data from the card onto the Central Repository's automated system. The Tracking Number (TN) on the card is also key entered.

The fingerprint card is then filed. In addition, the fingerprint clerks conduct a search of the fingerprint files to determine whether the arrestee may have an existing card under an alias.

As noted in the previous chapter, one of the problems faced by the Central Repository is that a large percentage of arrestees are not fingerprinted by the arresting agencies. The limitations of the current procedures have been documented by MAXIMUS in our Baseline Audit Report, which was submitted to New Hampshire in December 1994.[1/] During the Baseline Audit, we found that there is often little consistency among, or even within, police departments as to what types of crimes require fingerprinting. Some departments require fingerprinting for all arrests (including violations), others just for felonies, while still other departments require fingerprints for just felonies and misdemeanors. Some departments leave the decision to the individual officers.

1/ New Hampshire CJIS Baseline Audit, MAXIMUS, Inc., December 1994.

As previously noted, we found that all of the large police departments fingerprint 100 percent of felony arrestees, but that only 78 percent of these departments fingerprint all misdemeanor arrestees, and only about 33 percent fingerprint all persons arrested for violations. Of the mid-size departments in our survey, we found that only 91 percent fingerprint all persons arrested for felonies, 77 percent fingerprint all misdemeanor arrestees, and only 43 percent fingerprint all persons arrested for violations. Finally, among the small police departments in the survey, we found that only 87.5 percent fingerprint all persons arrested for felonies, only 70 percent fingerprint all misdemeanor arrestees, and only 37.5 percent fingerprint all persons arrested for violations. For the large police departments, it was found that the average number of fingerprint cards submitted each month represented only about 70 percent of all arrests each month.

In cases where the arresting agency does not fingerprint the arrestee, the FBI cannot be notified of the arrest and there is no record of the arrest on the CHRI database. In addition, there is no tracking number (TN) for following the case through to disposition. The TNs are designed for use in tracking cases through the courts. This enables cases to be tracked even if a charge is reduced.

When the disposition information is subsequently received from the courts, the Central Repository staff conduct a search of the database to match the disposition with the arrest. However, because of the large percentage of cases where the arrestee has not been fingerprinted, **no record of an arrest can be found for a substantial percentage of the dispositions.**

When a disposition is received from the courts and there is no fingerprint card for the arrest, the Central Repository cannot create an arrest record, so there will never be complete arrest information for the case. The Central Repository staff have been instructed to maintain information on the arresting agency in these cases, if this can be determined from the disposition reports. In addition, the local police departments do maintain their own arrest records even if they do not fingerprint all arrestees. However, the current procedures make it difficult to maintain the integrity and completeness of the criminal history records

information at the Central Repository. As we noted in the previous chapter, our Baseline Audit Report made the following observation:

> "A significant amount of the missing data is the direct result of not fingerprinting suspects as soon as they enter the criminal justice process. If fingerprints are not taken and a tracking number is not assigned, it is impossible to link arrest and subsequent disposition data positively for criminal history purposes. From the standpoint of the criminal history records system, it is as if the arrest never occurred."[2/]

Another problem is time lags in the submittal of the fingerprint cards to the Central Repository. As indicated previously, the MAXIMUS Baseline Audit found that 10 percent of small police departments took longer than one month to submit fingerprint cards to the Central Repository and that 9 percent of mid-size departments took longer than a month.[3/] The problem of time lags can be significant in the case of arresting agencies which have to rely on outside booking stations. For example, the State Police Troops often have to book arrestees at a county jail or local police department because of driving distances. In these cases, the fingerprint cards, the Incident Report, the Arrest Report, and other paperwork still have to be processed at the Troop. This can cause time lags of several weeks in the processing of the fingerprint cards.

1.2 Functional Requirements for the CJIS

The proposed CJIS system must allow arresting agencies and booking stations to transmit the arrest information contained on the Fingerprint Cards electronically to the Central Repository. This information must include all of the fields currently on the fingerprint cards, including the Tracking Number, the name and address of the arrestee, date of birth, physical descriptors, race, citizenship, social security number, arresting agency, information about the offense and the arrest, the charge, the court where the case has been filed, court date, and alias information (if available).

2/ New Hampshire CJIS Baseline Audit, MAXIMUS, Inc., page II-20.

3/ New Hampshire CJIS Baseline Audit, MAXIMUS, Inc., page II-22.

The system must allow local enforcement agencies to transmit the above information immediately or on a same-day basis. The system must include automated edits that preclude local arresting agencies from transmitting arrest information that is incomplete in terms of mandatory fields (to be specified).

To ensure that the CJIS system has maximum impact in improving the integrity and completeness of the criminal history record information, our Baseline Audit Report recommended that legislation be enacted to require the fingerprinting of all persons for felonies and misdemeanors, and to provide for post-conviction fingerprinting of summons and indictment cases. We also recommended that training be provided to local arresting agencies for local police to reinforce policies and procedures for fingerprinting and use of the Tracking Number. To the extent feasible, automated booking will enforce the fingerprinting requirements.[4/]

In the short-term, the CJIS system must generate lists of all arrests that have been made by local arresting agencies and submitted to the Central Repository. These lists will allow the Central Repository to monitor and identify cases where:

- a disposition is received from the courts but there is no record of an arrest on the lists; and
- cases where dispositions are not subsequently received for specific arrests.

With regard to Tracking Numbers, the system must link all related charges to a single Tracking Number in order to establish a consistent process of recording criminal history records for Tracking Numbers with multiple charges.

Over the longer-term, an AFIS system should be implemented for the automated transmittal of fingerprints directly from the booking stations to the Central Repository. This would eliminate the delays involved in transmitting the fingerprints and matching them with existing cards.

4/ New Hampshire CJIS Baseline Audit, MAXIMUS, Inc., page III-3

2. TRANSMITTAL OF INFORMATION ON CRIMINAL INCIDENTS AND ARRESTS FOR FEDERAL REPORTING

As part of the FBI uniform crime reporting (UCR) system, local arresting agencies transmit selected data on criminal incidents and arrests to the Central Repository, using standardized FBI data elements. The Central Repository then compiles the information and forwards it to the FBI. The UCR reporting system is voluntary, but states are encouraged by the FBI to maximize the reporting of information by local arresting agencies for purpose of monitoring national crime trends.

2.1 Limitations of Current Procedures and Interfaces

The UCR reports have traditionally been sent to the Central Repository by local arresting agencies in hard copy aggregate form. The Department of Safety, however, is in the process of implementing the automated National Incident Based Reporting System (NIBRS). Approximately 120 local police departments in New Hampshire will be participating in this system. The system will run on PC Oracle software at agencies which do not have their own automated systems or which are not tied into other systems. These departments have been given the format for file transfers to an ASCII file. Submittal of data to the Central Repository will be conducted by direct download via modem (the preferred system) or by floppy disk.

2.2 Requirements for the New CJIS System

The new CJIS system should support and expand current initiatives to provide local arresting agencies with the means to transmit UCR criminal incident and arrest data electronically to the Central Repository. This must be done in a way that will allow the Central Repository to transmit the data electronically to the FBI without any significant re-processing or editing of the data received from the local arresting agencies. The proposed telecommunications backbone system should ultimately serve as the mechanism for the direct transmittal of data to the Central Repository by local law enforcement agencies.

For the larger police departments that already have their own automated systems (for example, the Manchester Police Department), the CJIS system should include resources for the development of software (if necessary) to allow the departments to transmit their UCR data electronically to the Central Repository.

3. TRANSMITTAL OF ARREST AND CHARGING INFORMATION FROM LAW ENFORCEMENT AGENCIES TO THE PROSECUTORS

The CJIS requirements for this interface are described below.

3.1 Limitations of Current Procedures and Interfaces

The referral of criminal cases to prosecutors and Public Defenders is handled through inefficient and time-consuming manual procedures that create unnecessary clerical work for police departments and prosecutors. In addition, arresting agencies often have to rely on the use of manual logs to track the status of cases referred for prosecution.

In felony cases, the arresting agencies refer the cases to the county attorney or to the Attorney General's Office, as appropriate. In Concord and Manchester, the local police departments file their Complaints with the City Prosecutor. If the case is prosecuted by a county attorney or city attorney, copies of the Complaint are sent to the prosecutor, accompanied by a copy of the Arrest Report and the agency's documentation on each case, to allow the prosecutor to prepare the prosecution. The arresting agencies often keep a handwritten log of Complaints for tracking purposes. The prosecutor keeps a copy of the Complaint and sends a copy back to the arresting agency after the case is disposed.

In misdemeanor cases, most arresting agencies conduct their own prosecutions and file the Complaints directly with the courts (see Section 4 below).

3.2 Requirements for the CJIS

The system must provide for the automated transmittal of arrest and Complaint information from the arresting agencies to the Central Repository for subsequent transmittal to the County and City Attorneys and to the AG's Office in appropriate cases. By routing

the information through the Central Repository, the system will ensure that the Central Repository obtains all of the relevant information on each arrest and will also ensure that the data are complete.

The information that should be forwarded to the prosecutors must include the name and date of birth of the arrestee, the type of offense, the date of the arrest, the name of the arresting officer, the Tracking Number, the arresting agency, the charge(s), bail status, custody status, case status, arraignment date, and other necessary data. In the longer-term, consideration should be given to the use of imaging of relevant documents in the arresting agency's case file for automated review by City/County Attorneys. These documents might include bail paperwork, investigation reports, statements of witnesses, written evidence, and search warrants.

The system must provide for the automated transmittal of arrest and Complaint information from the arresting agencies to the local Public Defender's Office. This must include the same information that is transmitted to the prosecutors.

The system should provide the county sheriffs with access to the County Attorneys' data to obtain additional information for enforcing Orders of Arrest.

4. TRANSMITTAL OF ARREST AND CHARGING INFORMATION FROM LAW ENFORCEMENT AGENCIES TO THE COURTS

A large percentage of misdemeanor cases in New Hampshire are prosecuted directly by the local arresting agencies rather than by the county or city attorneys. In these cases, the arresting agency is responsible for providing the District Courts with information on the arrest and charge for inclusion in the court's case records and automated systems.

4.1 Limitations of Current Procedures and Interfaces

In cases where the local arresting agency is prosecuting the case directly, the arrest and charge information is transmitted to the courts exclusively through manual procedures. This process is inefficient and error-prone because it is difficult to track the referrals and because the courts have to key in the information on SUSTAIN after it has already been

filled out in handwritten form by the arresting officer. Accordingly, the process often involves duplicate data entry of the arrest and charging information by the arresting agencies and courts.

In the District Courts, cases are set up on the SUSTAIN system on the basis of the Complaint documents. The Complaints are completed manually by local Police Departments, state troopers, and other arresting agencies. No electronic interface currently exists between the arresting agencies and the District Courts for the transmittal of complaint information. The Superior Courts do not receive any cases directly from local arresting agencies, but receive this information through the County Attorneys.

4.2 Requirements for the CJIS

For law enforcement agencies that have their own automated systems, the CJIS should allow the agencies to transmit data on arrests and charges electronically (via the Central Repository) to the District Courts and Superior Courts in cases where a Complaint has been filed. This information would include the nature of the offense, the Tracking Number, information on the defendant (such as name, address, date of birth, social security number, operators license number, vehicle information, aliases, and physical descriptors), date of the offense and the arrest, and the name of the arresting agency and officer. The system must include automated edits to ensure that the information is complete and accurate. It should be noted that any plans to develop an electronic interface would have to address the issue of common data element definitions. For example, the definition of "filing date" for a police department may be different from the courts' definition.

Since many of the smaller police departments lack automated systems, the electronic interface between law enforcement agencies and the courts (via the Central Repository) could be implemented in phases, with priority being given to the larger police departments that are already automated and have large arrest volumes.

5. TRANSMITTAL OF CRIMINAL INTELLIGENCE DATA

The New Hampshire Law Enforcement Name Search System (LENS) is a statewide pointer index system for criminal intelligence. LENS is the only system of its type in New Hampshire and the sole narcotics intelligence system for the state.

5.1 Limitations of Current Procedures

The LENS system is currently housed on a standalone PC at the State Police Intelligence Unit in Concord. Police departments wishing to enter suspects into the system must do so by mailing the entry information to the state police. It is then entered by hand. The system is available for inquiries but only during business hours from Monday to Friday.

LENS suffers from sever limitations due to the lack of automation in the system. For example, narcotics units that are planning raids are unable to access the system in order to ensure against conflicting investigations with other agencies.

5.2 CJIS Requirements

The new CJIS system must allow local departments to transmit information to the LENS system electronically. The new system must also allow the State Police Intelligence Unit to provide intelligence data to local police departments through an automated query.

B. PROSECUTION, CASE SCHEDULING, AND COURT HEARING MODULE

This module of the new comprehensive CJIS system will cover the following major functions:

- o transmittal of case information by prosecutors to the courts;
- o case scheduling and case management;
- o notifying law enforcement agencies of court hearings; and
- o prisoner transportation.

1. TRANSMITTAL OF CASE INFORMATION BY PROSECUTORS TO THE COURTS

Following the initial arraignment, the prosecutors must notify the courts of subsequent changes in the charges being brought against a defendant. In addition, the prosecutors must notify the courts of direct indictments in which the defendant has not been previously arrested.

1.1 Limitations of Current Procedures and Interfaces

Under the current procedures, information on arraignments is captured on the SUSTAIN system at those courts that have implemented the system. This information includes the original charges brought against the defendant at arraignment. However, there is currently no automated interface for prosecutors to notify the courts of subsequent changes in the charges against the defendant. Nor is there an automated interface for prosecutors to notify the courts of direct indictments in which an arrest has not occurred.

1.2 CJIS Requirements

The system must allow county/city attorneys and the AG's Office to transmit information electronically to the courts in cases in which charges have been dropped or reduced, and cases involving direct indictments. In the case of direct indictments (where the Central Repository will have no record of an arrest), the system must notify the Central repository automatically of dispositions and sentences.

2. CASE SCHEDULING AND CASE MANAGEMENT

Following initial arraignment, the courts establish schedules for pre-trial motions and hearings and for actual trials in criminal cases. The Clerks of Court usually follow standard time frames for discovery, filing of motions, and pre-trial dates. However, priority is usually given to cases where the defendant is incarcerated pre-trial and to the oldest cases on the docket.

2.1 Limitations of Current Procedures and Interfaces

The County Attorneys do not have any automated interface with the courts in terms of accessing or transmitting scheduling information on pre-trial hearings, trials, or other case scheduling actions. After a case has been filed with the court, the County Attorneys receive a series of hard copy Hearing Notices from the court, which provide information on the defendant's name, docket number, pre-trial date, trial date, and other events.
In counties where the County Attorneys have an automated system, this information is key-entered by the clerical staff onto the system. Copies of the Hearing Notices are then typically forwarded to the Victim-Witness Coordinators to notify victims and witnesses of upcoming hearings and trial dates. Copies must also be made for the Assistant County Attorney assigned to the case.

The same basic situation applies to the Attorney General's Office. When a Superior Court is planning to hold a hearing on one of the Attorney General's cases, the AG's Office receives a piece of paper from the court to this effect. The AG's Office has no automated access to any of the courts' scheduling systems (for example, through SUSTAIN).

The Public Defender's Offices do not have access to SUSTAIN for obtaining information on case scheduling. The Public Defenders are typically provided with a hard copy list of scheduled arraignments at least one day before the arraignments are scheduled. Manual procedures are used to notify the Public Defender's Offices of subsequent pre-trial hearings and trials.

2.2 CJIS Requirements

The CJIS system must include an automated interface in which the SUSTAIN system is used to notify county/city attorneys, the AG's Office, and public defenders of all scheduled pre-trial hearings and trials in their cases, including deadlines set by the judge for discovery and other activities. Under the new system, prosecutors and public defenders must have access to the SUSTAIN system (on a "read-only" basis) to obtain information on the status of cases, including "next event scheduling."

Subject to review and approval by the Judicial Branch, the system should allow prosecutors to enter data on victim and witness availability and other factors affecting readiness for hearings and trials. This data might be entered into the system at the time of arraignment and subsequently updated to alert the courts to potential scheduling issues. The system might also include a case prioritization system that would allow the court clerks and prosecutors to determine those cases which are most ready to be processed on scheduled trial dates. The system should make this information accessible to court personnel for possible use in scheduling cases.

The system must allow the District and Superior Courts to notify the Public Defender's offices automatically of cases where a defendant has requested a court-appointed attorney and has been found qualified on financial criteria. Information on the defendant should also be transmitted automatically to the Public Defender's Office and to the Office of Cost Containment.

3. NOTIFYING LAW ENFORCEMENT AGENCIES OF COURT HEARINGS

The Superior Courts and District Courts must notify local arresting agencies of upcoming court proceedings in which the arresting officer is required to testify. These may include arraignments, pre-trial hearings and actual trials.

3.1 Limitations of Current Procedures and Interfaces

The procedures for notifying local arresting agencies of upcoming court hearings are entirely manual in nature and are inefficient and time-consuming for both the courts and the arresting agencies. The District Courts and Superior Courts may notify the local arresting agencies of court hearings by sending over Notices of Hearings, including the names of the officers who have to appear. These lists may then be posted for the officers to consult. In felony cases, police departments may obtain the listings of upcoming court appearances through liaison officers assigned to the County Attorney to assist in case preparation. This liaison officer may then prepare lists of cases to notify officers when they have to appear at a

trial. None of the local law enforcement agencies in New Hampshire currently has access to the Judicial Branch's SUSTAIN system.

3.2 CJIS Requirements

The CJIS system should allow the District and Superior Courts to notify local arresting agencies of upcoming hearings or trials through an automated interface, and should also allow the arresting agencies to have inquiry access to the information. The information to be transmitted to local law enforcement agencies should include the name of the defendant, the date of arrest, the docket number, and the date and time of the hearing or trial. This automated linkage should be phased in, beginning with the larger law enforcement agencies that have already installed automated systems. Private attorneys and pro se defendants might also be allowed access to the information.

4. PRISONER TRANSPORTATION

The County Sheriffs are responsible for transporting prisoners between the courts, the State Prison and the county jails. The County Sheriffs are notified by the courts of upcoming hearings in which an inmate must be present. They are then responsible for contacting the State Prison or county jail and making arrangements to transport the inmates.

4.1 Limitations of Current Procedures and Interfaces

The current interface between the courts, the Sheriffs, and the county jails is largely manual. One of the major problems with the current procedures is that court hearings are often cancelled the day before they due to be held (because of plea bargains or continuances), but the sheriff's department is not notified in time. As a result, prisoners are often transported unnecessarily to the courts.

The sheriffs departments receive hard copy transportation orders from the Superior Courts and the District Courts whenever a hearing or trial is scheduled. Most of the defendants are housed at the county jails. Of the 10 county jails, 5 have automated systems, but they are not linked to the sheriff's departments. In the typical case, the county jail may

provide the sheriff's department with a hard copy list of current inmates. The department reviews this list whenever they receive a transportation order from the court, and then contacts the jail by telephone to notify the jail of the transportation order.

4.2 Requirements for the CJIS

The CJIS should provide an automated interface between the courts, the county sheriffs departments, the county jails and the State Prison to facilitate prisoner transportation. This interface would include:

- o automatic notification of the courts concerning the specific facility in which the prisoner is being held;
- o automatic transmittal of prisoner transportation orders by the courts to the sheriffs departments, county jails, and State Prison; and
- o automatic notification of cancellations of prisoner transportation orders as soon as court hearings are cancelled or postponed.

The types of information to be transmitted should include the name of the defendant, the name of the court, the place of confinement, the destination, the purpose of the transportation, and the date and time of the court hearing. An automated interface should also be developed between the sheriff's departments, the county jails and the State Prison so that the sheriffs have automatic access to listings of current inmates.

C. THE DISPOSITION AND SENTENCING MODULE

This module of the proposed CJIS system will cover the following major interfaces and functions:

- o transmittal of disposition and sentencing information to the Central Repository;
- o transmittal of disposition and sentencing information to local law enforcement agencies;
- o transmittal of information on sentences and appeals to prosecutors and public defenders;
- o transmittal of disposition and sentence information to the Department of Correction and county jails;

- o transmittal of information on indigent offenders; and
- o transmittal of information on sexual offenders.

1. TRANSMITTAL OF INFORMATION ON DISPOSITIONS TO THE CENTRAL REPOSITORY

The courts are required by statute to transmit information on dispositions to the Central Repository for inclusion in the criminal history records information database. Timely and complete information on dispositions is critical to the integrity of the CHRI database.

1.1 Limitations of Current Procedures and Interfaces

As noted in the previous chapter, our Baseline Audit found that there are a number of problems in the current procedures for reporting dispositions, due partly to the fact that there is currently no automated interface between the courts and the Central Repository for the transmittal of disposition information. These problems are as follows:

- o lack of timeliness in the reporting of many of the dispositions to the Central Repository;
- o failure to transmit dispositions to the Central Repository in a certain percentage of cases, primarily cases involving dismissals and nolle prosequi decisions; and
- o errors and omissions in the transmittal of disposition data.

In the case of the District Courts, the disposition information is sent in the form of the Complaint/Abstract forms. The front side of the Complaint provides details of the offense and the name of the defendant, while the other side of the Complaint (the "Abstract") contains details on the disposition, including the docket number, the plea, the finding (guilty/not guilty/dismissed), the sentence, and any probation or parole terms. In the case of the Superior Courts, the disposition information for each case is sent manually to the Central Repository on the "Return from Superior Court." The Central Repository also receives notification of all probation and parole violations from the Superior Courts. These arrive by mail.

As noted previously, many of the dispositions received by the Central Repository from the Superior Courts are as much as three weeks old when they are received. In addition, the Baseline Audit revealed that about 10 percent of dispositions are not received by the Central Repository within one month after the disposition of the case by the courts.

As we indicated in Chapter II, the survey results from the Baseline Audit also indicated a significant discrepancy between the number of cases filed each month and the number of dispositions submitted to the Central Repository, especially from the District Courts. The main reason for disposition data not being forwarded to the Central Repository is that a large number of court clerk offices do not send disposition data to the Repository for nolle prosequi and dismissed cases. It was also found that a certain percentage of dispositions are simply lost while being sent to the Central Repository.

When the disposition forms are received at the Central Repository, the disposition data are key entered by the Central Repository staff onto the automated system, including the pleas, the findings, and the sentences. The staff then conduct a search for the arrest using the offender's name in the fingerprint files.

The current procedures are inconvenient and time-consuming for the court personnel as well as for the Central Repository Staff and involve duplicate recording of information. In the District Courts, the disposition information is written by hand on the Complaint forms. The forms then have to be mailed to the Central Repository and manually reviewed by the Central Repository staff. At the courts which have not yet implemented the SUSTAIN system, the procedures are even more cumbersome. The courts frequently receive telephone calls from the Central Repository inquiring whether disposition information is available on arrest cases.

A final weakness identified by the Baseline Audit pertains to cases in which the offender is never arrested (direct indictments). If the defendant is summoned or indicted and appears in court without having been arrested or fingerprinted, no tracking number is established. When the disposition is sent to the Central Repository, the staff have no record of an arrest.

1.2 CJIS Requirements

The new CJIS system must allow individual courts to transmit data on dispositions electronically to the Central Repository, except in cases involving juveniles (the juvenile dispositions are confidential under state law and are not currently transmitted to the Central Repository). The transmittal of data should ideally occur as soon as possible after the data have been keyed into the SUSTAIN system and then validated by court personnel. The data would then be transmitted in the form of validated batch transfers. This will help ensure that the Central Repository's database is always current. The specific data to be transmitted to the Central Repository must include the Tracking Number (TN), the offender's name and address, the offender's date of birth and driver's license number, the arresting agency, the name of the court, the type of offense, the date of the disposition, the plea, the finding (guilty/not guilty/dismissed), the sentence (including suspended sentences), and probation terms. Information on probation and parole violations and revocations should also be transmitted electronically. Finally, the system must indicate whether the disposition was the result of a direct indictment.

To support the electronic interface, software must be developed to transmit the information and to receive it at the Central Repository for integration into the criminal history records database. In the long-term, the state's planned telecommunications backbone should be the mechanism for transmitting dispositions information from individual courts to the Central Repository (see Chapter V). The disposition information might be sent directly by individual courts or through the Administrative Office of the Courts (AOC) in Concord.

The new system must generate lists of cases in which arrests have been reported to the Central Repository but in which no disposition data have been received within specified time frames.

2. TRANSMITTAL OF DISPOSITION INFORMATION FROM THE COURTS TO LOCAL LAW ENFORCEMENT AGENCIES

Although the Superior and District Courts are not required by statute to provide disposition information to local arresting agencies, the courts provide disposition information

to arresting agencies within their jurisdictions to allow the agencies to maintain records and prepare reports.

2.1 Limitations of Current Procedures and Interfaces

Under current procedures, the courts provide local law enforcement agencies with disposition information on their specific arrests. This information, however, is transmitted manually. In the case of the District Courts, the information is typically transmitted by sending the hard copy Dispositions/Abstracts to the local arresting agency. In the case of the Superior Courts, disposition information is sent to local law arresting agencies in the form of the hard copy "Return from Superior Court."

If a local police department wishes to find out about a disposition from a local court without waiting for the manual forms to arrive, the officer has to show up at the hearing or call up by telephone. Police agencies do not have access to the SUSTAIN system for purposes of obtaining disposition information. For those police departments that have their own automated systems, the information on dispositions has to be key entered onto their systems, resulting in a duplication of activity between the courts and law enforcement agencies. Some law enforcement agencies have procedures for microfilming copies of the disposition forms for inclusion in case records. In all cases, local law enforcement agencies place the hard copy disposition information into case records, regardless of whether the agency is automated.

There are often delays in receiving the disposition information from the courts. An additional problem is the disposition of property and evidence. Police departments may have to store property and evidence for extended periods because of the haphazard procedures for informing the departments of the disposition of cases. An automated system would help local police departments dispose of property and evidence in a timely manner.

Manual procedures are also used to transmit disposition information from the Superior Courts. This includes the wording of the indictment and the disposition. In the typical case, the disposition information is initially sent to the County Attorney offices by the Superior Courts. The police department which made the arrest may then have to send an

officer or support staff person to pick up the disposition forms from the County Attorney's office. In some counties, law enforcement agencies are sent a printout of dispositions by the Superior Court rather than the disposition forms.

2.2 CJIS Requirements

Under the new system, information on dispositions will be sent by the courts to the appropriate local arresting agencies. The information to be transmitted should include the Tracking Number (TN), the offender's name and address, the offender's date of birth and vehicle license number, the arresting agency, the name of the court, the type of offense/RSA, the date of the disposition, the plea, the finding (guilty/not guilty/dismissed), the sentence (including suspended sentences), and probation terms. Under one scenario, the system would automatically transmit the disposition data to the appropriate arresting agency after the information is keyed into the SUSTAIN system by the court staff. Alternatively, the data on dispositions could be transmitted through a daily file transfer. The system must also provide local arresting agencies with the capacity to query the SUSTAIN system to determine the status of cases in which they have made an arrest.

3. TRANSMITTAL OF INFORMATION ON DISPOSITIONS AND APPEALS TO THE PROSECUTORS AND PUBLIC DEFENDERS

The county attorneys, city attorneys, public defenders, and the Attorney General's Office require information on the disposition of their cases for purposes of case tracking and management reporting. The prosecutors also need to obtain information on any appeals filed after a criminal conviction.

3.1 Limitations of Current Procedures and Interfaces

The county attorneys, city prosecutors, and Attorney General's Office cannot access the SUSTAIN system at the current time. They have to rely on the transmittal of manual forms or similar non-automated procedures to find out about case dispositions and appeals from the courts. The forms include the Abstracts and the Return from Superior Court (or

"MITTIMUS"). The information on dispositions then has to be key entered onto the automated systems maintained by prosecutors.

The public defenders do not currently have any automated interface with the courts or access to SUSTAIN. The majority of cases filed in the Superior Courts involve a public defender.

3.2 Requirements for the CJIS

The system must allow individual courts to transmit disposition data on adult cases to individual County Attorneys, City Attorneys, and Public Defenders within their jurisdictions and to the Attorney General's Office on its cases. The transmittal of data to each county/city attorney and public defender's office should be limited to cases in which the agency prosecuted/defended the case. The system would automatically transmit the disposition data to the Central Repository after the information has been keyed into the SUSTAIN system and validated by the court staff. The system must also provide county/city attorneys and public defenders with the capacity to query the SUSTAIN system to determine the status of cases (but not to alter any of the data). The disposition information to be transmitted must include (at a minimum) the type of sentence (for example, incarceration, probation, or fine), the sentencing date, the length of the sentence, the amount of the fine or restitution, and offender data.

4. TRANSMITTAL OF DISPOSITION AND SENTENCE INFORMATION TO THE DEPARTMENT OF CORRECTION AND COUNTY JAILS

The individual courts are responsible for notifying the State Prison and county jails of cases where offenders have been sentenced to incarceration. The courts also notify the local District Office of the DOC Division of Field Services of all cases in which the offender has been sentenced to probation. For all sentences to incarceration or probation, the courts must provide information on the offender, the offense, and the sentence.

4.1 Limitations of Current Procedures and Interfaces

The current interfaces for transmitting information on dispositions and sentences to DOC and the county jails are time-consuming and inefficient because they involve the use of manual procedures and duplication of effort. When an offender is convicted and sentenced to state prison, the courts create a MITTIMUS that defines the sentence. The State Prison will not accept a prisoner without this paperwork. The State Prison has to key the data from the MITTIMUS onto their own system, raising the possibility of data transcription errors. In addition, the staff at the State Prison have no access to the SUSTAIN system. When a defendant is sentenced to state prison, the court also sends the prison a hard copy of the indictment and the Pre-Sentence Investigation.

The courts also prepare a manual Adult Order of Commitment when an offender is sentenced to serve time in the county jail. The sentence is also recorded on the back of the Complaint. The county jail does not usually request any additional follow-up information on offenders after they have been incarcerated. However, if the offender is sentenced to serve weekends only, the jail will contact the District Court if the offender does not show up.

In cases where an offender has been sentenced to probation, the appropriate District Office of the DOC Division of Field Services is notified by the transmittal of a hard copy form stating the terms of the probation sentence.

4.2 CJIS Requirements

The system must provide for the electronic transmittal of adult disposition and sentencing information by the individual courts to the State Prison and the county jails. The system must also notify the Central Repository of all information. The transmittal must incorporate all of the information contained in the MITTIMUS, including the offender's name and date of birth, physical descriptors, other offender data, date of the sentence, length of the sentence, parole conditions, and name of the court.

The system must provide for the electronic transmittal of probation sentencing information to the DOC Division of Field Services in all cases where an offender has been sentenced to probation. This information should be transmitted automatically to the District

Offices of the Division of Field Services. The information to be transmitted must include all information on the Complaint and Abstract or the Order from Superior Court.

5. TRANSMITTAL OF INFORMATION ON INDIGENT OFFENDERS

The Office of Cost Containment is responsible for the determination of indigence and the collection of some, but not all, attorney fees when legal counsel is provided at a cost to the State. When the offender is placed on probation, the collections requirement becomes the obligation of the Division of Field Services. Critical for both the Division of Field Services and the Office of Cost Containment is clarity and timeliness of notice when an offender with an obligation to repay indigent counsel fees is placed on probation or parole.

In the usual case, the Office of Cost Containment will begin collecting attorney fees before disposition. Once disposition has occurred and probation or parole becomes part of the sentence to be served, the collections obligation transfers from the Office of Cost Containment to the Division of Field Services.

5.1 Limitations of Current Procedures

The collection obligation and offender's parole/probation status needs to be transmitted from and to the Office of Cost Containment and the Division of Field Services in a timely fashion. There is currently no automated support for this process.

5.2 CJIS Requirements

The new system must provide for the automated transmittal of information between the Office of Cost Containment and the Division of Field Services in cases involving defendants who are obligated to repay indigent counsel fees and who have been sentenced to probation.

6. TRANSMITTAL OF INFORMATION ON SEXUAL OFFENDERS

The New Hampshire Sexual Offender Registration Law requires all convicted sexual offenders to register with the state police. The registration period is for ten years in the case

of a misdemeanor conviction, and lifetime for felony conviction. The offender must re-register every year. The registration information includes his/her place of residency. The information is then forwarded to the applicable police department where the residence is located.

6.1 Limitations of Current Procedures

The current system is housed on a standalone Sun system PC. It is not compatible with other systems in use by the state police. In order for local departments to query the system for offenders, they must telephone the state police intelligence unit during regular business hours. A search is then conducted by available clerical help. This procedure is slow and cumbersome. It does not lend itself to timely access of information.

6.2 CJIS Requirements

The system must provide local departments with automated access to information on sexual offenders through an electronic linkage to the State Police database. The sexual offender database must be integrated with other systems in use at the Central Repository.

D. BENCH WARRANT AND RESTRAINING ORDER MODULE

This module of the proposed CJIS system will cover the transmittal of information on bench warrants and restraining orders to the Central Registry. Bench warrants are issued by the District Courts mostly in cases where a criminal defendant has failed to appear for a scheduled court hearing (a warrant may also be issued on other situations, such as when a person fails to send in a mail-in time payment). In Superior Court, a Criminal Arrest order is issued for failure to appear. The courts are also responsible for issuing restraining orders in domestic violence cases and other types of cases.

1. LIMITATIONS OF CURRENT PROCEDURES AND INTERFACES

With the exception of the Electronic Bench Warrant Pilot that is operational in the Salem and Auburn District Courts, there is currently no procedure for transmitting

information on bench warrants or restraining orders either manually or electronically from the courts to the Central Repository. Accordingly, there is no system in place for broadcasting this information to local law enforcement agencies or prosecutors statewide.

As noted in Chapter II, the Electronic Bench Warrant Pilot has been in operation for several months in two District Courts and is due to be expanded to all District Courts statewide in the near future. Under this pilot project, new bench warrants are transmitted electronically on a nightly basis from the SUSTAIN system to the Central Repository to update the outstanding warrant files. This information is then available to local law enforcement agencies through the SPOTS terminals. It is hoped that the Electronic Bench Warrant System will be expanded to all District Courts by the end of 1995. The AOC is also planning to expand the system to include restraining orders in domestic violence cases. The Central Repository is in the process of deciding on the specific types of data that might be transmitted on restraining orders.

Except for the Salem and Auburn District Courts, therefore, the District Courts are not transmitting their warrants to the Central Repository for statewide dissemination to law enforcement agencies. Instead, the warrants are sent manually only to the local law enforcement agencies within the jurisdiction of each District Court. Likewise, the Superior Courts do not notify the Central Repository of warrants for statewide dissemination. Instead, the county sheriffs offices are notified manually, and the sheriff's staff are responsible for entering the warrants onto the NCIC system.

2. REQUIREMENTS FOR THE NEW CJIS SYSTEM

The CJIS must provide for the automated transmittal of bench warrant and restraining order information from each of the District and Superior Courts to the Central Repository for statewide access by local law enforcement agencies. In the short-term, the Electronic Bench Warrant Pilot can serve as an interim solution when it is expanded statewide. In the long-term, however, the transmittal of information on bench warrants and restraining orders should be conducted through the planned backbone telecommunications system. This could be accomplished either by immediate transmittal of data once it is keyed by court personnel

or through a system of daily file transfers. For bench warrants or arrest orders, the information to be transmitted should include the name of the defendant, the name of the court, the offense, the date of the warrant, the original Tracking Number, and other relevant information. The system must also provide for the real-time transmittal of information on the cancellation of warrants as soon as they are cancelled.

E. PRE-SENTENCE INVESTIGATION MODULE

The Pre-Sentence Investigation Module of the new system will address the follow functions and interfaces:

- o transmittal of PSI requests by the courts; and
- o transmittal of PSI reports and documentation.

1. REQUESTS BY THE COURTS FOR PRE-SENTENCE INVESTIGATIONS

In cases where an defendant has been convicted and is awaiting sentencing, the courts notify the appropriate District Offices of the DOC Division of Field Services that a Pre-Sentence Investigation is required. A Probation Officer is then assigned to prepare the PSI. After a Probation Officer is notified by the court that a PSI is necessary, the Officer has to contact the County Attorney to obtain information on the case.

1.1 Limitations of Current Procedures and Interfaces

The current procedures for requesting, preparing and submitting PSI reports are inefficient and time-consuming and create unnecessary clerical work for court personnel and probation officers. There is also a time lag in the submission of the PSI reports because of these inefficient procedures.

The courts rely on a manual interface with the DOC Division of Field Services. In the event of a conviction by plea or trial, a request for a Pre-Sentence Investigation report is triggered. This is sent manually to the local District Office of the Division of Field Services, which has between 30 and 45 days to prepare the report. Only the basic case information is transmitted, including a copy of the Complaint and Abstract and other relevant documents.

The Probation Officer interviews the defendant to obtain additional information and conducts a criminal records search. The Division of Field Services then sets up its own file for the case. The Probation Officer also obtains a copy of the case file from the County Attorney.

The Probation Officer who is preparing the PSI is given a photocopy of the County Attorney's file for the offender. The documents that are typically copied include the discovery side of the file, as well as the Indictment/Complaint, the Referral Sheet, the Arrest report, and other documents. After the PSI has been completed, it is sent to the court, where the Assistant County Attorney will review it.

1.2 CJIS Requirements

The system must allow the individual courts to notify the DOC's Division of Field Services automatically of cases in which a Pre-Sentence Investigation (PSI) is required. This notification should be transmitted to the appropriate District Office and must include the name of the offender, the name of the court, the offense, the conviction date, the deadline for the PSI, and other necessary information.

The new system should provide Probation Officers with automated access to the data maintained by the prosecutor or District Court to obtain required information for the preparation of PSI reports. In the longer-term, imaging might be used to allow Probation Officers to review case file documents through an electronic interface.

The system must provide the Probation Officer with automated access to arrest and disposition data on each case through direct access to the Central Repository. The system must allow the Probation Officer to copy this information into an automated PSI report format.

2. TRANSMITTAL OF PRE-SENTENCE INVESTIGATION (PSI) REPORTS AND DOCUMENTATION

After completing the PSI report, the Probation Officer is responsible for sending it to the court and notifying the county attorney that the report has been completed.

2.1 Limitations of Current Procedures and Interfaces

The current process for notifying the county attorney and for submitting the PSI is completely manual.

2.2 CJIS Requirements

The system must also allow the Probation Officer to notify the County Attorney when a PSI has been completed and to transmit the contents of the report to the court electronically. The system should also allow the County Attorney staff to determine the status of a PSI to assist in case scheduling.

F. INCARCERATION, PROBATION, AND PAROLE MODULE

This module of the CJIS system will encompass the following functions and interfaces:

- o transmittal of information on inmates and releases to the Central Repository;
- o transmittal of information on the probation and parole status of arrestees;
- o transmittal of information on releases and parole hearings to the victim-witness coordinators;
- o transmittal of information on probation violations; and
- o sentence reduction petitions.

1. TRANSMITTAL OF INFORMATION FROM THE DEPARTMENT OF CORRECTIONS TO THE CENTRAL REPOSITORY

The Department of Corrections sends the Central Repository information on all new inmates received at the State Prison. In addition, DOC is responsible for sending the Central Repository information on releases of inmates on parole or at sentence expiration.

1.1 Limitations of Current Procedures and Interfaces

The State Prison relies on the use of inefficient manual procedures to send the Central Repository information on new inmates. The State Prison sends a set of fingerprint cards and a photograph, as well as a form indicating how long the inmate will be at the prison. The State Prison obtains fingerprints for all new inmates even if the fingerprints have already been obtained by the arresting agency and transmitted to the Central Repository. The DOC fingerprint cards are placed in the offender's file by Central Repository staff. The Central Repository also receives fingerprint cards from several of the county jails.

The State Prison used to send information to the Central Repository on prisoner releases but is no longer doing so. Instead, as noted below, information on prisoner releases is disseminated to individual Victim-Witness Coordinators at the county attorney offices.

1.2 Requirements for the CJIS

The CJIS system should allow DOC staff to transmit information on new inmates electronically to the Central Repository. This information should include all of the fields that DOC staff currently enter on the fingerprint cards. The system should provide for the automated transmittal of information on prisoner releases to the Central Repository.

2. TRANSMITTAL OF INFORMATION ON THE PROBATION AND PAROLE STATUS OF ARRESTEES

Local law enforcement agencies need to have ready access to information on an arrestee's parole or probation status. In particular, this information is needed so that arrestees are not released on bail until the DOC has had the opportunity to decide whether they should be detained pending subsequent violation proceedings.

2.1 Limitations of Current Procedures and Interfaces

The current procedures for alerting local law enforcement agencies of the parole or probation status of arrestees or other individuals are inadequate. As a result, law

enforcement agencies may not always be able to determine whether an arrestee or other person involved in a service call is on probation or parole.

Local law enforcement agencies do not have access to the automated system currently maintained by the DOC 's Division of Field Services to find out if an arrestee is on probation or parole. Instead, the Division conducts a computer run every 30 days on its current caseload and distributes hard copy listings to each police department, covering only those persons residing in the department's local jurisdiction. Some police departments then key enter this data into their automated systems so that the information will be available to dispatchers as part of Computer-Aided Dispatching (CAD) systems. Most police departments, however, simply conduct a visual cross-check of the lists to determine if an arrestee is on probation or parole.

As a recent refinement, the DOC Division of Field Services has developed an agreement with the Department of Safety (DOS) and the Department of Motor Vehicles (DMV) to establish a data link with the Division's network. On a daily basis, the Division creates a tape of all active offenders on probation or parole and hand carries the tape to the DMV, which downloads the data into its automated system. With this approach, a police officer who stops someone for a vehicle check can find out if the person is on probation or parole. This system has only been in place for about a month.

If a person on probation or parole is arrested, the appropriate District Office of the DOC Division of Field Services is usually notified by the arresting agency by telephone during regular business hours.

2.2 Requirements for the CJIS

The system must provide for the automated transmittal of information to local arresting agencies on all offenders currently on probation and parole statewide. This information must include the name and address of the offender, identifying characteristics, the name and telephone number of the Probation/Parole Officer, parole/probation conditions (for example, curfews, no driving, or no alcohol), expiration date, type of offender (violent

versus non-violent), sex offender, and other items. The transmittal of this information might be achieved in either of the following ways:

- o establishing an automated linkage between the Division of Field Services and the Central Repository, thereby allowing local arresting agencies to obtain information through the SPOTS system; or
- o directly transmitting the data to the local arresting agencies.

The system would transmit the data electronically into the automated systems of local arresting agencies so that the data can be incorporated into Computer Aided Dispatching (CAD) systems. Local police departments which are not automated would receive the data in the form of printouts until they can be connected to the network.

3. TRANSMITTAL OF INFORMATION ON RELEASES AND PAROLE HEARINGS

The Offender Records Unit at the State Prison is responsible for notifying the county Victim-Witness Coordinators of releases involving the expiration of sentences or court-ordered releases, while the Parole Board is responsible for notifying the Victim-Witness Coordinators of all parole releases.

3.1 Limitations of Current Procedures and Interfaces

The above notifications are currently conducted manually. A manual tickler system is used by the Offender Records Unit to identify the upcoming sentence expiration releases, and the Victim-Witness Coordinators are then notified by telephone. There are plans to automate the tickler system, but not the notification process, when the new DOC automated system is implemented. The Parole Board also uses manual procedures to notify the County Attorneys of upcoming parole hearings and releases.

3.2 CJIS Requirements

The system must provide an automated interface for the transmittal of information on releases by the Offender Records Unit to local County Attorneys for purposes of allowing the Victim-Witness Coordinators to notify victims. One option would be to transmit the

information to the Central Repository, which would then be responsible for transmitting the data to the local County Attorneys.

The system must also provide for the automated transmittal of information on scheduled parole hearings to the County Attorneys for dissemination to local Victim-Witness Coordinators. This might also be transmitted through the Central Repository.

4. TRANSMITTAL OF INFORMATION ON PROBATION VIOLATIONS

If a Probation Officer wishes to recommend a probation violation in the event of a re-arrest or other violation, the case must be referred to the appropriate County Attorney for prosecution and to the court for a decision.

4.1 Limitations of Current Procedures and Interfaces

When recommending a probation revocation, the District Office of the DOC Division of Field Services transmits the necessary paperwork to the County Attorney and to the court. This process involves photocopying of case documents and manual transmittal of copies. The District Office also updates the Division's automated system to reflect this action.

4.2 CJIS Requirements

The new system must allow the District Offices of the DOC Division of Field Services to notify the county attorneys and courts automatically of recommendations for probation revocations. This must include information on the offender, the nature of the violation, the date of the violation, and the name of the Probation Officer. In the longer-term, imaging of documents might be incorporated into the system to allow the county attorney to review relevant case materials automatically.

5. SENTENCE REDUCTION PETITIONS

Under New Hampshire law, inmates can file for a sentence reduction after serving a certain period of time. If an inmate files a motion for sentence reduction, the County Attorney in the appropriate jurisdiction is notified.

5.1 Limitations of Current Procedures

In sentence reduction cases, the court asks the Offender Records Unit at the State Prison for a "court synopsis" of the offender's case file. Based on this synopsis, the Warden makes a recommendation to the court. The Offender Records Unit prepares an estimated 12 to 15 court synopses per week. The information is transmitted manually to the courts and County Attorneys.

5.2 CJIS Requirements

The new system must allow DOC to send the court synopsis electronically to the court, including all necessary information about the case and the offender (such as disciplinary history while incarcerated and good time accumulated). The system must also allow the Offender Records Unit to transmit the court synopses electronically to the County Attorneys.

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This chapter identified the major system modules and functional requirements for the CJIS system. In the next chapter, we describe the proposed conceptual systems design and architecture for the CJIS.

CHAPTER IV

CONCEPTUAL SYSTEMS DESIGN AND ARCHITECTURE FOR THE CRIMINAL JUSTICE INFORMATION SYSTEM

CHAPTER IV: CONCEPTUAL SYSTEMS DESIGN AND ARCHITECTURE FOR THE CRIMINAL JUSTICE INFORMATION SYSTEM

One of the major objectives of the project was to assess alternative conceptual systems designs and architectures for the criminal justice information system. This chapter presents a proposed conceptual systems design and architecture for the New Hampshire CJIS.

On the basis of the information gathered during the project, MAXIMUS recommends that the conceptual systems design and architecture for the New Hampshire CJIS should be based on the following core principles.

- The CJIS system should emphasize networking and connectivity rather than the development of a new shared database of criminal justice information.
- The system should take advantage of the current installed base of hardware and software to the extent feasible in order to control costs.
- The network should operate on the State's new telecommunications backbone system which is expected to be in operation by late-1996.
- Pending the implementation of the new backbone system, work should begin as soon as possible on developing interagency agreements, identifying data transmission needs and protocols, developing new software programs, and acquiring hardware necessary to support the new CJIS network.
- The new system should be implemented in phases by module, with the most important modules being implemented first.

In the following sections, we describe each of these aspects of the conceptual systems design in greater detail.

A. EMPHASIS ON NETWORKING AND CONNECTIVITY RATHER THAN THE DEVELOPMENT OF A NEW SHARED DATABASE

In certain states, CJIS plans have emphasized the need to create a new shared database of criminal justice information to which all appropriate agencies can have access for authorized purposes. These types of databases have been justified on the grounds that

different criminal justice agencies need to have timely access to a single source of information on criminal offenders. Under this approach, each agency is recognized as the source of specific types of data on offenders and cases, and each agency is also granted access to specific types of information.

Although this approach has certain advantages, it also has significant disadvantages, including the following.

- **Concerns About Data Integrity, Data Ownership and Confidentiality:** The development and updating of a new database that exists separately from each agency's own data systems and case records tends to raise concerns about whether the information in the database is accurate and up-to-date. In addition, there is always the risk that the data in the database may be inconsistent and unsynchronized with the data maintained separately by each agency. Agencies also tend to be concerned that they may no longer have control over the integrity and confidentiality of the data that they compile on offenders and cases.
- **Cost Factors:** Creating and maintaining a new independent database has a number of cost implications, especially since new hardware is typically required to maintain the database. In addition to hardware costs, there are significant software development and design costs, as well as personnel costs required for database administration.
- **Time Factors and the System Development Cycle:** The development of a new independent database requires additional time and effort for such tasks as database design and the development of a database dictionary of common data elements.

Rather than developing an independent database, the requirements for the New Hampshire CJIS can be addressed by developing **connectivity** among the courts and the different criminal justice agencies. Under this approach, the courts and the agencies would maintain exclusive control over the information that they generate on offenders and cases, but would also participate in a comprehensive automated network in which specific types of data are transmitted among organizations.

For example, rather than the courts transmitting all of their disposition data to a single central database, a networking strategy would be developed in which individual courts would transmit certain types of disposition data **directly** to specified agencies based on pre-

determined protocols. If a criminal offender, for example, is sentenced by a Superior Court to a term of probation, the network would transmit the appropriate information electronically to the Central Repository, the local arresting agency, the DOC Division of Field Services (both the local District Office and the headquarters office), and the local county attorney. The network would comprise an automatic **"event notification" system** that would also transmit specified items of information to appropriate agencies and the courts about the offender and the case as it is being processed through the system. The specific information to be transmitted will be determined as part of a detailed Functional requirements Analysis and initial design activities during the implementation of the Master Plan. The information to be transmitted might also automatically update the databases of the recipient agencies.

The concept of the CJIS network as an event notification system differs from the traditional "offender-based tracking system" (OBTS) concept based on a new independent database. Under the event notification concept, it is assumed that the information needs of different agencies are focused primarily on the outcomes of specific case actions, including arrest, prosecution, adjudication, and correctional supervision. In contrast, the OBTS concept is based on the assumption that agencies are primarily concerned with being able to make ad hoc inquiries about specific offenders and their status.

It should be noted, however, that the proposed CJIS network would provide an **offender-based inquiry and tracking capability** as well as an event notification system. First, the network would allow agencies to query the databases of other criminal justice agencies and the courts to obtain needed information on an ad hoc basis. For example, county attorneys and local arresting agencies would have the capacity to query the SUSTAIN systems of individual courts to obtain information about the status of criminal cases. They would also have the capacity to copy data from SUSTAIN into their own systems. Second, if agencies wish to obtain accurate information about specific offenders, they will have access to a more comprehensive and up-to-date criminal history records database (CHRI) than exists currently. Specifically, the proposed network will improve the overall quality and completeness of the arrest data and disposition data in the CHRI, especially if local arresting agencies are required to submit fingerprint cards to the Central Repository on all persons arrested. This will minimize the need to make inquiries of several different agencies to

obtain data on individual offenders. If an agency is unable to obtain information from the improved CHRI database, it could query the DMV database. Together, these two data sources should provide agencies with almost all of the available information on specific offenders and their status. Finally, agencies will be able to query the DOC databases to obtain up-to-date information on the supervision status of offenders sentenced to incarceration or probation.

Exhibit IV-1 depicts the conceptual systems design for the New Hampshire CJIS, based on the proposed networking concept. When the backbone system is fully operational, the individual agencies and courts will be able to communicate with each other through the network. For example, individual courts could transmit data directly to the Central Repository, other courts, local County Attorneys, and local arresting agencies. Similarly, individual agencies would have the capacity to query the data of specific agencies or individual courts, subject to pre-defined authorization protocols.

Exhibit IV-2 illustrates the overall types of data that would be exchanged through the proposed network.

B. NEED TO BUILD UPON THE CURRENT INSTALLED BASE OF HARDWARE AND SOFTWARE

In order to contain costs for the development and operation of the New Hampshire CJIS, it is important that the new network be built upon the installed base of hardware and software to the extent feasible. At the current time, the judicial branch and many state and local criminal justice agencies have already acquired extensive computer hardware and software or are in the process of designing and implementing new systems. In some cases, it will be practical to build on this installed base, but a number of individual agencies are not

Exhibit IV-1
CONCEPTUAL SYSTEMS DESIGN FOR THE NEW HAMPSHIRE CJIS

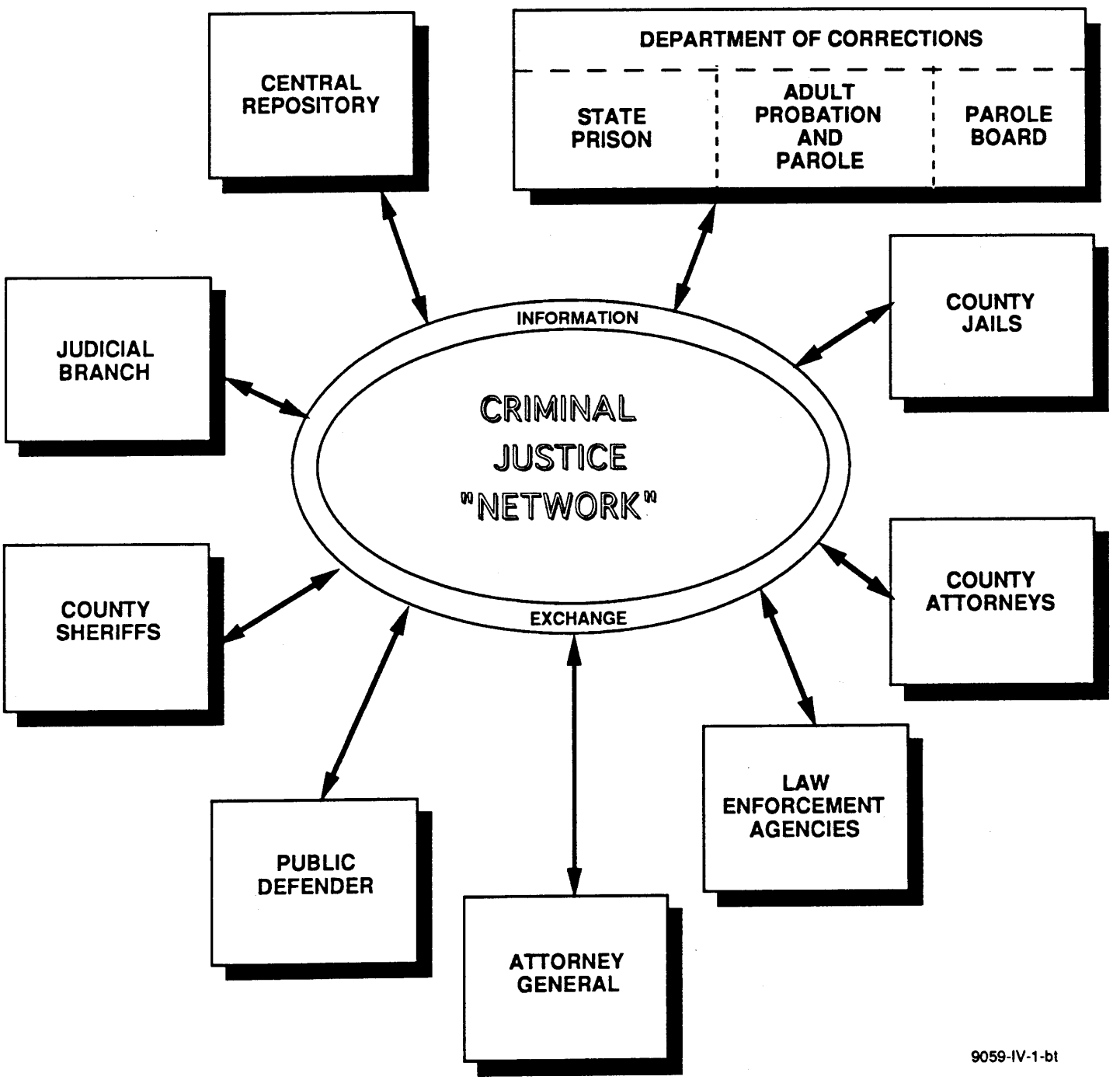
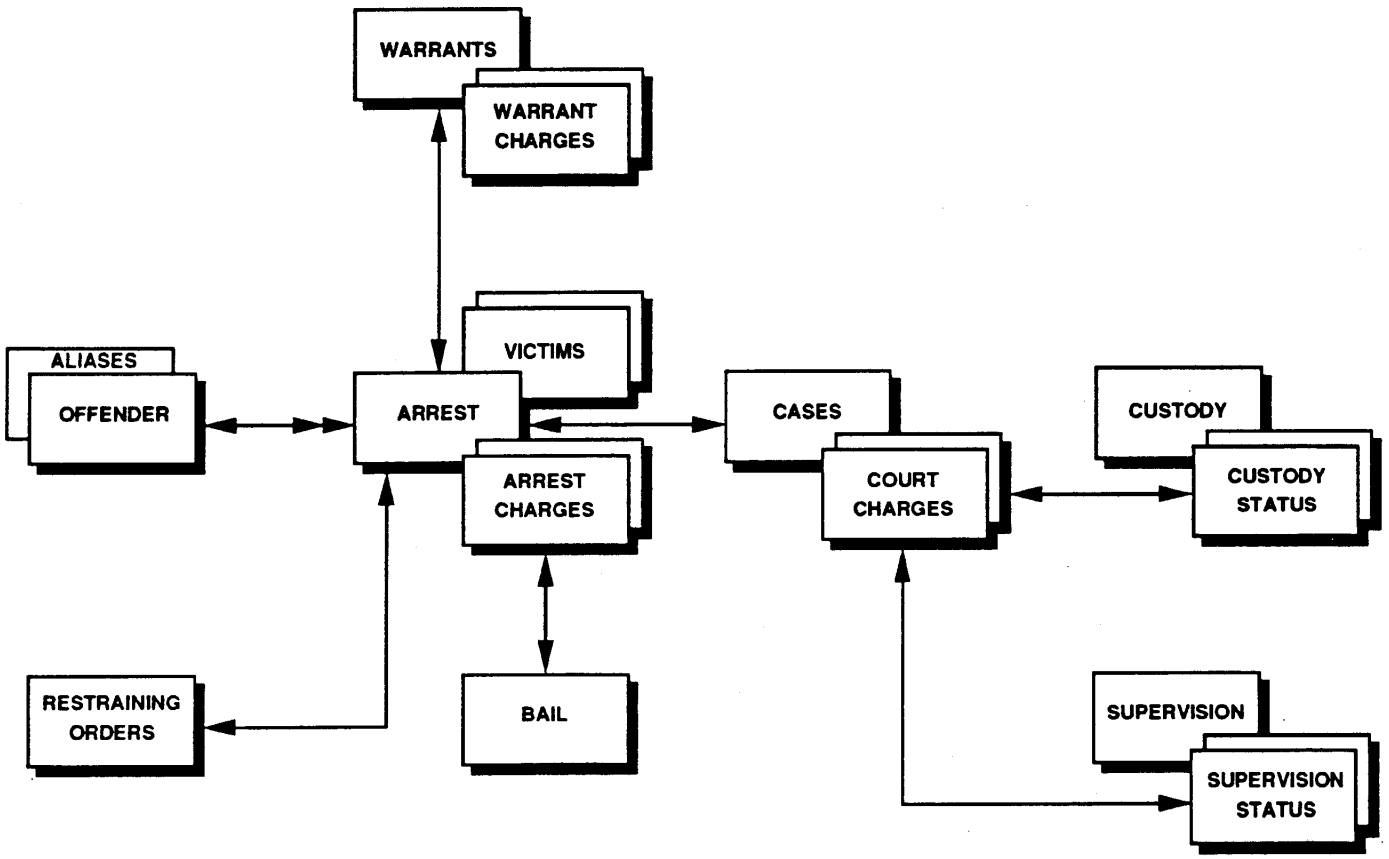


Exhibit IV-2
CJIS DESIGN: DATA RELATIONSHIPS



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satisfied with their current systems and will be replacing them during the next few years. In replacing their systems, these agencies should be encouraged to plan their new systems with a view to the proposed emphasis on connectivity with the courts and other agencies. There are also agencies (including many local police departments, several County Attorney's offices, and some county jails) which have minimal automation and would have to acquire new hardware and software in order to participate fully in the new network.

In the sections below, we present a brief assessment of the current state of automation of the courts and major criminal justice agencies in terms of their capacity to interface with a CJIS network.

1. CENTRAL REPOSITORY

The Central Repository's automated criminal history record information (CHRI) database resides on the Repository's own BULL mini-computer. Staff at the Repository have a total of eight terminals linked to the BULL computer. The system operates on the UNIX operating system and uses the ORACLE database management software.

Based on the functional requirements analysis presented in the previous chapter, the Central Repository would experience a significant increase in the volume of incoming automated data transmissions or transfers, especially from the individual courts (dispositions and warrants) and local arresting agencies (arrests and criminal incidents). The current BULL mini-computer, however, should have sufficient capacity to receive and process the new information. Additional resources will be required to develop the applications programming required to accept the new data transmissions.

2. LOCAL LAW ENFORCEMENT AGENCIES

With regard to the reporting of arrest data and criminal incident data, efforts are currently underway to convert local police departments to PC environments as needed. About one-half of local police departments currently have PCs and the remaining departments will have PCs within one year. This will facilitate the on-line reporting of arrest data, but PCs will also have to be provided to all booking stations as well as local police departments.

3. THE COURTS

As noted in the Phase I Report, the AOC is currently overseeing the statewide implementation of the SUSTAIN system in the District and Superior Courts. All of the 40 District Courts have already implemented this system. In addition, six of the Superior Courts have implemented SUSTAIN. The seven Superior Courts that have not yet implemented SUSTAIN will be implementing the system within the next two years, and their current hardware and software will be replaced with PC-based LAN systems. Each of the 40 District Courts has a PC-based LAN, with Novell Netware and WordPerfect 5.1. The PC LANS are not tied together.

3.1 Use of SUSTAIN in the CJIS Network

The SUSTAIN system currently contains all of the basic information that would be transmitted to different criminal justice agencies under the functional requirements defined in the previous chapter. A case is currently established on SUSTAIN on the basis of the hard copy Complaint received from arresting agencies or prosecutors. The system is then updated through other source documents and information, such as scheduled hearings, results of trials, guilty pleas, and other events.

There are three aspects of the SUSTAIN system, however, that have implications for tying the system to a CJIS network. First, the system does not provide any automated interfaces among the different District Courts, although the AOC is in the process of implementing a Wide Area Network (WAN) on a pilot basis. Under this pilot, two of the District Courts (Pittsfield and Concord) will be linked to AOC through the WAN. The WAN will involve dedicated telephone lines and three routers, in contrast to the current dial-up system. The WAN, however, will be used **for sharing case management information.** The Superior Courts are also interested in a WAN network, but primarily to allow judges to communicate with each other.

Second, the SUSTAIN system does not currently provide an automated interface between the District Courts and the Superior Courts, except that appeals from the District Courts to the Superior Courts can be recorded in the SUSTAIN systems of the respective

courts. If a case is appealed from a District Court to a Superior Court, however, the case information has to be transferred manually.

Third, there is currently no automated interface between the individual courts and the AOC, except for a dial-up system that AOC uses for DP support. The AOC handles all of the DP support for each of the courts, including diagnosing problems and emergency fixes.

3.2 Implications for the CJIS Network

Because of these features of SUSTAIN, it would appear that the most feasible architecture for the transmittal of case information from the courts to the criminal justice agencies would involve having the individual courts transmit their own data directly to these agencies. An individual court, for example, would transmit disposition data on its cases directly to the Central Repository, the local County Attorney, the arresting agency, and the Department of Corrections, rather than sending this information through a centralized point at the AOC or another location. This proposed architecture, however, might be modified if the Judicial Branch chooses at some time to implement its own central "hub" system linking all of the courts.

4. ATTORNEY GENERAL'S OFFICE

The Attorney General's Office currently has a Wang VS-7120 mid-size computer located at its main office in Concord. A number of PCs, dumb terminals and printers are connected to the Wang.

4.1 Automation Plans

The AG's Office is dissatisfied with its current system for a number of reasons, including:

- the lack of networking and interfaces with other state agencies and other facilities of the AG's office,
- the system's very limited management reporting capability, and
- the limited functionality of the home-grown software.

The current automated system is used to capture basic data on the defendant, the venue of the criminal proceedings, the opposing counsel, a brief narrative on the offense, and data on the investigation, prosecution, disposition, and sentencing. The system also includes a tracking component to ensure that court appearances are made.

The AG's Office has appointed a Senior Management Committee to develop a Strategic Plan for Information Technology. The focus of the plan will be to develop a variety of networks within the AG's headquarters building and with other AG facilities and to promote communications with the AG's client agencies and opposing counsel. The headquarters building has already been wired for this purpose. OITM will be assigning a staff person to address the automation needs of the AG's Office. The AG's Office has put in a capital budget request to replace the Wang with new equipment.

4.2 CJIS Implications

As the AG's Office replaces its current hardware and software, there will be a need to consider connectivity with other agencies and the Judicial Branch, based on the functional requirements presented in Chapter III. The primary interfaces will involve receiving data from individual courts on case scheduling and dispositions. Networking with individual courts, therefore, would be a primary focus of future telecommunications plans.

5. COUNTY ATTORNEYS AND PUBLIC DEFENDERS

The four largest County Attorney offices (Hillsborough, Rockingham, Merrimack and Strafford) have implemented automated case management systems, but these are standalone systems unconnected with the local courts or other criminal justice agencies. According to the AG's Office, most of the other County Attorneys are 2-3 person operations and may have only word processing.

Based on the preliminary functional requirements analysis, the County Attorneys and Public Defenders will interface primarily with the local courts within their jurisdictions, focusing on case scheduling and the transmittal of disposition and charging information. Accordingly, the primary focus of initial CJIS development efforts should be to establish

connectivity within each county between the local courts, the County Attorney's office, and the Public Defender. In the larger counties where the County Attorneys have already implemented automated case management systems, this could be accomplished by developing linkages between these systems and the SUSTAIN system at individual courts. This would require the development of the necessary software and the hardware required to establish the link (such as modems and data lines). Some County Attorney's offices, however, are either not automated or are hoping to upgrade their current systems (such as the Merrimack County Attorneys Office). In such offices, it is will be necessary for the County Attorneys to automate or complete their upgrades before being able to connect to local court systems. This would involve hardware and software acquisition.

6. DEPARTMENT OF CORRECTIONS

The requirements for linking the Department of Corrections to the proposed CJIS network are reviewed below.

6.1 Current Automation Plans

The Department of Corrections is in the process of implementing an automated system to process and store information on offenders sentenced to the State Prison. The new system will automate the Offender Records Office at the prison and will cover such information as sentences, offender information, jurisdiction, admission date and a large array of other information. The system will also compute release dates and provide a variety of management reporting options.

The system will be installed on the DOC's newly acquired BULL mid-size computer and will operate on IBM's AIX operating system (which is IBM's version of UNIX). The computer has already been purchased and is situated at the State Prison. The system will use the INFORMIX relational database management system. The applications software will be a customized version of a commercial jail management system package. The functions of the "offender records" component of this software will include sentence management and "event" data, such as classification changes. The system will also capture or compute information on

the demographics and physical characteristics of inmates, sentence dates, sentence length, good time earned, disciplinary days, minimum sentence before parole, and other variables. The system will include an automated tickler to notify DOC officials of upcoming release dates and parole hearings. Under the new system, each offender will be given a permanent ID number and a booking ID number.

6.2 Limitations of the Proposed DOC System for CJIS Networking

One of the major limitations of DOC's proposed new system is that it will cover only inmates at the State Prison, and does not include modules to track persons while on probation or parole (However, it is hoped that data on parolees will eventually be merged with the new system). When the new system was originally being planned, DOC was intending to include the Division of Field Services in the system. However, the projected costs for the fully integrated system were in excess of funds available, so the plan had to be amended to exclude the Division of Field Services.

The Division of Field Services has its own automated system that runs on the BULL computer housed at the Department of Health and Human Services. The data is keyed in at the District Offices. The system contains basic case information on each offender. The District Offices have PCs which are hooked up to the BULL through land line communications. The Division pays a monthly fee to HHS for use of the computer. Clerical staff at the District Offices use the PCs to enter new cases and to update the cases based on such events as violations and transfers. The District Offices also have an inquiry capability and E-mail.

The Division is dissatisfied with its current automated system with regard to the applications software and the hardware configuration. The Division has requested a $2.7 million capital improvement budget for the 1995-96 biennium, but is not sure how much money will actually be appropriated. Future CJIS development plans will have to take account of the system enhancement initiatives of the DOC with respect to the Division of Field Services.

6.3 Requirements for DOC Participation in the CJIS Network

The transmittal of disposition data from the courts to the Department of Corrections is one of the primary interfaces identified in the preliminary functional requirements analysis for the CJIS system. This includes (1) the transmittal of disposition data to the State Prison (incarcerations) and (2) the transmittal of data to the District Offices of the Division of Field Services (probation sentences). To support these interfaces, it will be necessary to develop telecommunications linkages between individual courts and the State Prison, and between individual courts and the Division of Field Services District Offices. Alternative system architectures for achieving these linkages must be evaluated.

Electronic linkages must also be developed between the State Prison and the County Attorney's offices to notify victim-witness coordinators of upcoming parole hearings and releases. Finally, some type of telecommunications linkage must be developed to allow the Division of Field Services to notify local law enforcement agencies of persons currently on probation or parole statewide. One option for implementing this interface on an interim basis would be to have the Division of Field Services transmit the information through the Central Repository for statewide dissemination through SPOTS.

7. COUNTY SHERIFFS AND COUNTY JAILS

The 10 county sheriffs in New Hampshire have varying levels of automation. With regard to the county jails, a total of five of the jails are known to be automated, and plans are underway to automate the remaining jails in the near future. As noted in the preliminary functional requirements analysis, the primary CJIS interfaces that will involve the sheriffs departments and county jails include the following:

- transmittal of disposition information from the individual courts to the sheriffs and the jails;
- transmittal of arrest orders from the Superior Courts to the sheriffs; and
- transmittal of prisoner transportation information among the courts, the sheriffs, and county jails.

In terms of system architecture, these interfaces could be handled primarily through local linkages among the individual courts, sheriffs departments and jails at the county level. In order to take advantage of the state's new backbone system, these linkages would have to based on connections with local system nodes.

C. USE OF THE STATE'S TELECOMMUNICATIONS BACKBONE SYSTEM

As noted, the optimal way to develop an integrated criminal justice information system (in terms of both efficiency and cost) will be to use the backbone telecommunications system currently being planned by the Office of Information Technology Management (OITM). DAS/OITM is in the process of developing an RFP for the new telecommunications system for use by state agencies. The new system will replace the existing leased line systems used by state agencies. It is anticipated that the new project will begin in late 1995 and that the backbone system will be operational by late-1996.

Although the new network is currently being planned for state agencies, the courts will be involved even though they are not part of the Executive Branch. The AOC wishes to use the new network as a pipeline for connecting the individual courts, but there are currently no plans on the part of AOC to use the network to share data with criminal justice agencies.

It is anticipated that, when the backbone system is implemented, there may be about 20 local nodes statewide for all agencies. These nodes might be established in such locations as the district offices of the Department of Health and Human Services or other state agencies. A Committee is about to be established to determine the future level of demand for each agency.

With regard to the courts, the Superior Courts and the District Courts might tap into the local nodes. It would be necessary to acquire modems to link the individual courts with the local nodes. Connections to the nodes would be through leased lines. This would help address the fact that the courts do not have a network of their own. Under this scenario, if a local court wished to link to another local court, the data would be transmitted directly between the individual courts.

The DOC, DOS, and state police troops will be included in the network as state agencies. The existing system maintained by the DOC Division of Field Services would be replaced by the new network. The most logical next step for DOC would be to integrate the probation/parole system into their new UNIX-based system that will operate at the State Prison.

The Wang equipment at the Attorney General's Office will be replaced. OITM has asked the AG's Office to develop a Business Plan for future systems development. The AG's planning committee, however, has not yet addressed CJIS issues in their current planning process.

With regard to local agencies, county attorneys and local police departments are not regarded as state agencies for purposes of the new network. If they were to be linked to the network through a dial-up to the nodes, it would be necessary to develop an arrangement for covering the necessary costs. The potential capacity of the new network is not a major issue with regard to adding new users.

With regard to DP standards for state agencies, OITM has put together a set of high-level principles which all of the agencies have accepted. Recommendations about hardware/software standards will be made as the project progresses. OITM is responsible for setting the standards, based on recommendations from an interagency committee. Working committees will develop standards for each major area, such as PCs and word processing software. For network operating systems, the state standard will be Novell Netware.

The current BULL mainframe at HHS (which is used by the DOC Division of Field Services) will be phased out. No standards have yet been developed for database management systems (except that they must be SQL-compliant) or for PC capacity.

DAS/OITM is planning to outsource the maintenance of the software for the network. Under the outsourcing approach, the vendor would provide programmers for software maintenance. The operation of the network, however, would not necessarily be outsourced. Under one scenario, a contractor might build and maintain the network, but the state would operate the network.

D. PHASED IMPLEMENTATION OF THE SYSTEM

To allow New Hampshire to take advantage of the CJIS system as soon as possible, the most important modules should be designed and implemented first, while the lower-priority modules will be implemented later. This approach is discussed in greater detail in Chapter VI.

CHAPTER V

BENEFITS OF A COMPREHENSIVE CRIMINAL JUSTICE INFORMATION SYSTEM FOR NEW HAMPSHIRE

CHAPTER V: BENEFITS OF A COMPREHENSIVE CRIMINAL JUSTICE INFORMATION SYSTEM FOR NEW HAMPSHIRE

In this chapter, we present an overview of the benefits that will accrue to the citizens of New Hampshire and to the New Hampshire criminal justice system from the implementation of a comprehensive CJIS. The primary objective of the CJIS system is to ensure that information on criminal cases and offenders is as accurate and up-to-date as possible and that the information is readily available in a timely manner to all agencies and organizations involved in the criminal justice system. In accomplishing this objective, the major outcomes will include:

- overall improvements in public safety;
- a greater degree of safety for law enforcement officers on the streets;
- improvements in the identification and processing of criminal offenders;
- promotion of more effective law enforcement;
- acceleration of case processing within the court system;
- promotion of timely and accurate disposition reporting to criminal history records;
- provision of timely information to victims of crime; and
- better monitoring of offenders in the criminal justice system through the ability to track offender status.

A. THE PROBLEM

As described in Chapter II of this Master Plan, the various criminal justice agencies and the judicial branch in New Hampshire have made significant progress in recent years in implementing **internal automated systems** to improve their operating efficiency. However, the different agencies and the courts still rely extensively on inefficient, error-prone, and time-consuming manual procedures to **share** information about criminal offenders and the status of criminal cases. There are very few examples of **automated interfaces** among the different agencies and the judicial branch for transmitting important information about offenders and events in the criminal justice system. As a result, key information about

criminal offenders and cases is either not available or is not accessible to agencies or the courts in an efficient or timely manner.

For example, the current procedures for transmitting information to the Department of Safety's Central Repository of criminal records are neither timely nor efficient and pose a serious challenge to maintaining the completeness and integrity of criminal records in New Hampshire. Equally important, much of the information available to individual agencies or courts is never made accessible to other criminal justice agencies. For example, except for the Electronic Bench Warrant (EBW) Pilot in which two of the District Courts are transmitting bench warrant information electronically to the Central Repository, there is currently no system in place for disseminating information about bench warrants to law enforcement agencies statewide (the EBW approach, however, is being designed as a system that will later operate statewide). Likewise, local police departments do not have ready access to statewide listings of offenders who are currently on probation or parole.

In addition, time-consuming and inefficient procedures have to be used by the different agencies and the courts to access information on criminal offenders and cases. The current procedures result in staff time and resources being spent on (1) the duplicate recording of criminal justice information, (2) cumbersome procedures for data transmittal, retrieval, and transportation, and (3) extensive use of photocopying and hard copy data storage. In an era of limited government budgets and resources, these practices are resulting in scarce resources being used for tasks that could easily be automated.

As a result of this situation, the sharing of information among the different agencies and courts is still based essentially on the shuffling of paperwork in a cumbersome and time-consuming process. Information is not always available when needed or may be incomplete and sometimes inaccurate. This leads to some potentially very serious problems. A few examples are as follows:

- Police may approach a suspect or a stopped vehicle without having complete or accurate information because the updating of criminal history records with dispositions is not fully automated and can be delayed.
- The wrong people can be detained, arrested, or incorrectly released as a result of:

  - the lack of a comprehensive file of offender data that provides a complete picture of the offender or suspect;
  - the lack of a statewide warrants file; and
  - the delays associated with organizations transmitting relevant data to other organizations.

- People who are arrested may be going free because of the lack of comprehensive fingerprinting and the cumbersome manual fingerprint matching process.
- Judges, county attorneys, and public defenders may not have all pertinent information on offenders and therefore may make wrong decisions.
- There is a chance that the wrong offenders may be placed on parole or probation because of the lack of relevant information from which to make a decision:
  - The compilation of offender information is cumbersome to collect from different sources.
  - Offenders may be released without prior notification of victims or local law enforcement agencies.

Now is the ideal time to develop a comprehensive plan to implement an integrated criminal justice information system in New Hampshire. Many of the state and local criminal justice agencies are dissatisfied with their current automated systems and are upgrading (or planning to upgrade) their hardware and software in the near future. Many of the existing systems are very limited in terms of functionality, management reporting capability, and networking capabilities within the agencies. Some entities, such as the courts, are already in the process of installing new state-of-the-art automated systems statewide.

However, few of the agencies are focusing on **interface issues** or **data sharing** in their current automation initiatives and plans. Since many agencies and the courts are in the process of reassessing or upgrading their automated systems, this would be the optimal time for them to incorporate interface needs and functions into future system development plans and activities.

B. BENEFITS OF IMPLEMENTING A COMPREHENSIVE CRIMINAL JUSTICE INFORMATION SYSTEM

The successful development of a criminal justice information system in New Hampshire will bring substantial benefits for the state as a whole and for individual criminal justice agencies and the Judicial Branch. By providing more timely, accurate and accessible information on criminal offenders and cases, the CJIS will result in a more efficient and effective criminal justice system. In addition, the CJIS will help individual agencies and the courts to perform their functions more efficiently and to reduce costs incurred in their current labor-intensive procedures. In the sections below, we highlight the major overall benefits of the CJIS for New Hampshire as well as the benefits for individual agencies and the courts.

1. OVERALL BENEFITS OF A COMPREHENSIVE CRIMINAL JUSTICE INFORMATION SYSTEM

The following overall benefits will accrue from the implementation of a comprehensive CJIS in New Hampshire.

- A more streamlined and efficient criminal justice system will provide for better tracking of criminal offenders from arrest through disposition.
- Accurate and up-to-date information on offenders and cases will be available to all participating organizations on a timely basis, thereby improving decision-making and avoiding offenders "slipping through the cracks."
- Criminal history records will be updated in a timely manner with disposition information electronically submitted by the courts.
- Criminal history records will contain more comprehensive and verified information on arrests made by local law enforcement agencies.
- More comprehensive information will be available to criminal justice agencies on the parole and probation status of persons arrested.
- Information on criminal warrants, restraining orders, and offender status will be available statewide in a complete and timely manner when it is needed.

- Errors in the transmission of offender data and case status information will be reduced by replacing manual methods of data transmittal with electronic interfaces.
- The flow of paper among agencies and the courts will be greatly reduced.
- Criminal justice personnel will spend less time processing manual data received from other agencies and the courts.
- Standard offender data definitions will facilitate interagency offender tracking and communication.

2. BENEFITS TO LOCAL LAW ENFORCEMENT AGENCIES

The proposed CJIS will have the following major benefits for local law enforcement agencies.

- Local law enforcement agencies will have access to accurate and up-to-date information on criminal records of offenders when they make an arrest, stop a vehicle, or respond to a service call.
- Police officers will have access to accurate statewide information on bench warrants, wanted persons, and restraining orders.
- Police officers will have access to comprehensive information on the probation or parole status of individuals when they make an arrest or vehicle stop.
- Local law enforcement agencies will save staff resources through the elimination of paperwork and manual procedures involved in transmitting arrest data and criminal incident data to the Central Repository.
- Law enforcement agencies will be able to transmit information more effectively to each other when the proposed network is fully operational.
- Local law enforcement agencies will receive disposition information on their cases more efficiently without having to spend staff resources on processing paper forms or duplicate data entry.
- Sheriff's departments will have automatic access to listings of inmates in county jails and the State Prison, thereby saving staff resources spent checking manual listings or calling for information.
- Sheriff's departments will have more efficient procedures for prisoner transportation and will avoid wasting time transporting prisoners for court hearings that are cancelled.

3. BENEFITS TO THE COURTS

The proposed CJIS system will provide the following major benefits for the Judicial Branch.

- The courts will be able to transmit disposition information electronically to local arresting agencies, County Attorneys, county jails, the State Prison, and the Central Repository, thereby saving considerable staff time and paperwork involved in current manual procedures.
- By allowing authorized criminal justice agencies to have query access to the SUSTAIN system, the CJIS will help the courts save resources currently spent responding to inquiries about case status and defendants.
- The system will allow certain information on arrests and prosecutions to be transmitted electronically to the courts, thereby reducing the staff time spent on processing this information manually and re-entering it onto the courts' data systems.
- Court cases will be disposed of in a more timely and efficient manner because all parties will have access to improved verified information on defendants based on fingerprints.
- The preparation of Pre-Sentence Investigation (PSI) Reports will be more efficient and timely because of the use of automated linkages for triggering PSI requests and for gathering of required information by Probation Officers.
- Court scheduling will be made more efficient and will allow County Attorneys and Public Defenders to have more efficient input into the scheduling process.
- The courts will have a more efficient process for prisoner transportation to court hearings, thereby reducing staff time spent on arranging for defendants to be transported.

4. BENEFITS TO PROSECUTORS AND PUBLIC DEFENDERS

The proposed CJIS system will bring the following major benefits for prosecutors and Public Defenders.

- County Attorneys, City Attorneys, the Attorney General's Office, and the Public Defender's Offices will receive information on court dispositions electronically, thereby saving staff time involved in

processing and re-keying manual transmittal forms. This process will also allow the agencies to prepare management reports in a more timely manner and avoid backlogs in the keying of disposition data.

- The prosecutors and Public Defenders will be able to receive certain types of information on arrests, charges, and bail status from the arresting agency through an automated linkage, thereby expediting case preparation.
- Prosecutors and Public Defenders will have access to verified information on criminal histories of defendants, based on comprehensive fingerprinting.
- Prosecutors will be automatically notified by the Department of Corrections of upcoming parole hearings and inmate releases, thereby improving the efficiency of procedures for notifying victims.
- Prosecutors and Public Defenders will have more ready access to information on the parole and probation status of defendants.
- Prosecutors and Public Defenders will be able to query the SUSTAIN system and obtain up-to-date information on the status of court cases.
- Prosecutors will have automated access to statewide information on bench warrants and restraining orders against defendants.

5. BENEFITS TO THE DEPARTMENT OF CORRECTIONS

The proposed CJIS network will provide the following benefits to the Department of Corrections.

- The Department of Corrections will receive sentencing information from the courts in the form of an electronic MITTIMUS, thereby saving staff resources spent in processing the paperwork and re-keying the sentencing information.
- The State Prison will be able to notify the County Attorneys electronically of scheduled parole hearings and prisoner releases. Information on prisoner releases will also be transmitted electronically to the Central Repository.
- Comprehensive information on each offender sentenced to State Prison (including demographics, physical descriptors, and arrest information) will be available to staff at the Offender Records Unit through an electronic interface with the arresting agency and the court.

- The process of transporting inmates from the State Prison for court hearings will be made more efficient through the automated transmittal of prisoner transportation orders.
- The Division of Field Services will have the capacity to transmit complete listings of persons on probation and parole to local police departments and county attorneys through an automated interface, thereby saving staff resources spent on disseminating manual listings.
- The Division of Field Services will be notified automatically of requests for Pre-Sentence Investigations from the courts, thereby eliminating paperwork and expediting the preparation of reports.

CHAPTER VI

CJIS IMPLEMENTATION PLAN AND BUDGET

CHAPTER VI: CJIS IMPLEMENTATION PLAN AND BUDGET

In this chapter, we present the detailed Implementation Plan and Budget for the development of the New Hampshire CJIS. The information presented in this chapter is based on a detailed analysis and estimate of the tasks and resource requirements involved in designing and implementing each of the major system modules identified in Chapter III.

The estimates of personnel requirements are general estimates based on the functional requirements analysis. In addition, we compared the estimates to those of similar state projects and have found the estimates to be generally consistent with these other projects. We also reviewed the estimates with New Hampshire criminal justice management and technical staff.

A. GENERAL APPROACH

The general approach to designing and implementing the CJIS system will involve two major steps:

- the development of an overall system design encompassing the entire CJIS system, and
- the phased design and implementation of individual modules.

The rationale for this approach is that it will allow the most important modules to be properly designed and implemented on a priority basis without waiting for an elaborate detailed system design for the CJIS system as a whole. If excessive time and resources are spent on programming the entire CJIS system, there is a risk that New Hampshire will not see short-term benefits from the implementation of the most important modules.

Priority will be given to those modules that will directly enhance the integrity of the criminal records system in New Hampshire. Under the phased approach to designing and implementing the CJIS system, therefore, the modules will be implemented in the following priority order:

- Priority 1: the Arrest and Criminal Incidents Module;
- Priority 2: the Dispositions and Sentencing Module;
- Priority 3: the Incarcerations, Probation, and Parole Module;

- Priority 4: the Bench Warrant and Restraining Order Module;
- Priority 5: the Prosecutions and Case Scheduling Module; and
- Priority 6: the Pre-Sentence Investigation Module.

The rest of this chapter is organized into the following sections:

- Section B presents our approach to the overall design of the CJIS system, including the major tasks, schedule, and personnel requirements. These personnel requirements are described in terms of the following major categories:
  - Project Manager,
  - Systems Analysts,
  - Programmers,
  - System Testers, and
  - Trainers.
- Section C presents the approach to implementing each of the six major modules, providing information on tasks, schedules, and person-months required for the detailed design and implementation of each module.
- Section D presents a summary of the proposed schedule and personnel requirements for the implementation of the different CJIS modules, and an estimated budget for personnel.
- Section E presents an analysis of the hardware requirements and costs for implementing the CJIS. This section identifies the hardware requirements in terms of such items as PCs, lines, modems, routers, bridges, adaptors, emulation boards, upgrades, and so on.
- Section F presents an overall budget estimate for the design and development of the New Hampshire CJIS, covering both personnel and hardware costs.
- Section G provides estimates of the costs of ongoing CJIS operations.

B. OVERALL DESIGN OF THE CJIS

This task will involve developing the Preliminary Design for each of the major system modules, as well as an integrated design for the CJIS system as a whole. This will ensure

that each module properly fits into the overall CJIS design. It is estimated that a total of four months will be required for the preparation of the overall CJIS design. The major subtasks required to complete the overall design are described below.

TASK 1: IDENTIFY USER GROUPS FOR OBTAINING INPUT INTO THE PRELIMINARY DESIGN

The first step will be to identify members of the Steering Committee, User Groups and Task Forces.

These groups are further discussed in Chapter VII.

TASK 2: IDENTIFY DETAILED FUNCTIONAL REQUIREMENTS AND DATA REQUIREMENTS FOR THE CJIS

In convening the User Groups for each module, the first task will be to identify detailed functional requirements for each module, building on the preliminary analysis presented in Chapter III of this Master Plan. This will include:

- a detailed analysis of the specific types of data that are to be shared among agencies and the courts, and
- more detailed specifications relating to data transmission schedules and mechanisms.

TASK 3: PREPARE THE PRELIMINARY DESIGN AND DISTRIBUTE TO THE USER GROUPS FOR REVIEW

After the initial sessions with the User Groups have been completed, a draft version of the Preliminary Design will be prepared and circulated to each member of the User Groups. The groups will then be reconvened to obtain their input into the draft version before it is issued in final form.

The estimated personnel requirements for the development of the overall CJIS design are as follows:

- one Project Manager half-time: two person-months, and
- three Systems Analysts full-time: 12 person-months.

C. DESIGN AND IMPLEMENTATION OF THE CJIS MODULES

This section presents the task plan, schedule, and estimated person-months for designing and implementing each of the major CJIS modules. For each module, we present a Gantt Chart showing the elapsed time and personnel requirements for each of the following generic tasks:

- o preparation of the detailed design and software specifications,
- o software programming,
- o unit testing of the software,
- o string testing of the software,
- o user testing,
- o user training,
- o pilot testing of the module, and
- o statewide implementation.

In describing the approach to the first module -- Arrests and Criminal Incidents -- we present brief descriptions of the activities involved in these generic tasks. For the remaining modules, we simply present a Gantt Chart describing the timetable, and a matrix of personnel resources required.

1. ARRESTS AND CRIMINAL INCIDENTS MODULE

The tasks and schedule for designing and implementing the Arrests and Criminal Incidents Module of the CJIS are shown in Exhibit VI-1. Exhibit VI-2 shows the personnel requirements for completing each task, by staffing category, and presents a summary of the total personnel requirements for designing and implementing the overall module, also by staffing category. The specific tasks are described below.

TASK 1: PREPARATION OF THE DETAILED DESIGN AND PROGRAMMING SPECIFICATIONS

After the Preliminary Design has been completed, work will begin immediately on the Detailed Design for the Arrests and Criminal Incidents Module. The Detailed Design will

Exhibit VI-1
SCHEDULE FOR DESIGNING AND IMPLEMENTING THE ARRESTS AND CRIMINAL INCIDENTS MODULE

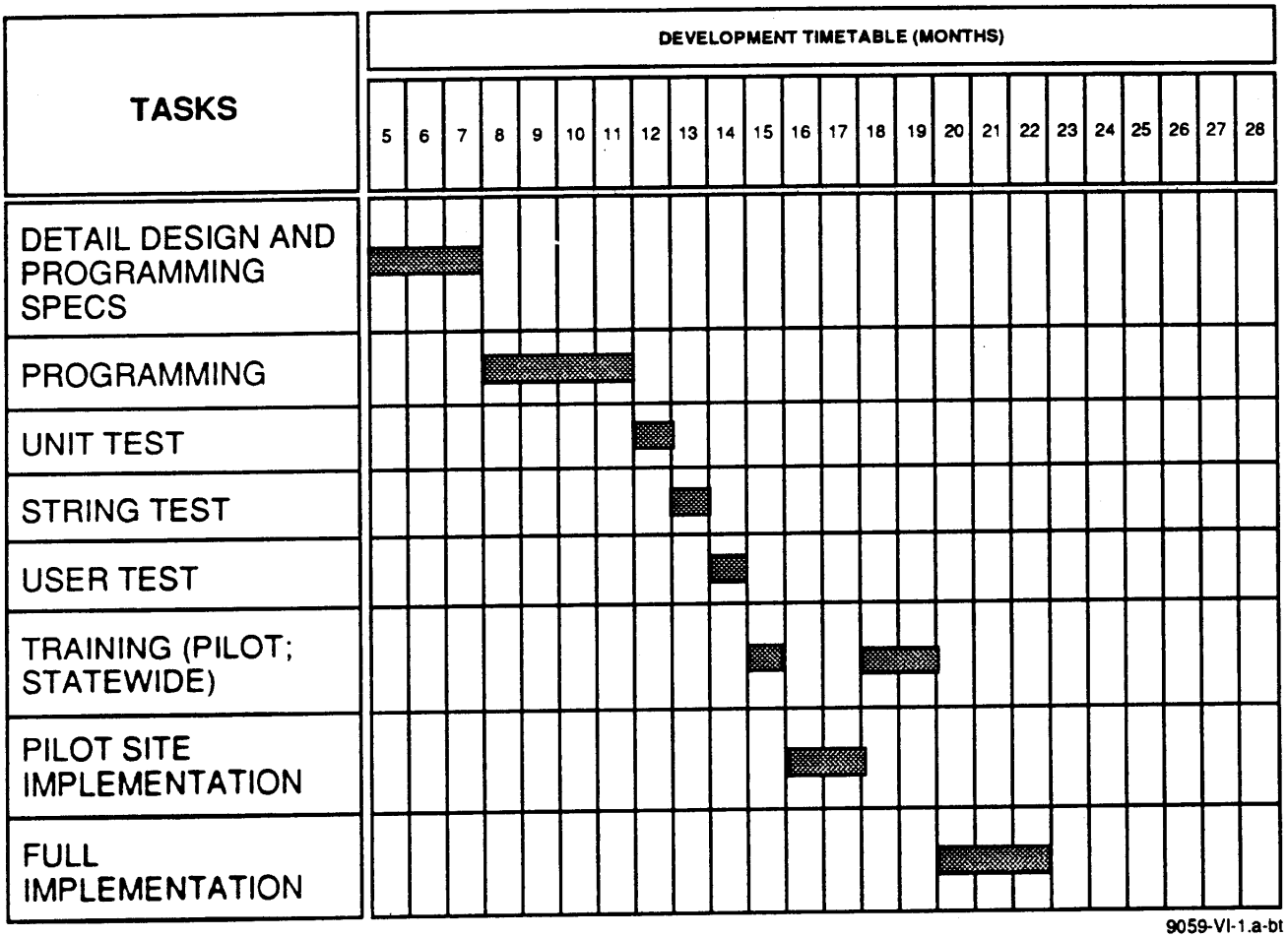

Exhibit VI-2
RESOURCE REQUIREMENTS FOR THE ARREST AND CRIMINAL INCIDENTS MODULE (PERSON - MONTHS)

	CENTRAL REPOSITORY AND LAW ENFORCEMENT				COURTS		PROSECUTORS/ PUBLIC DEFENDERS		CORRECTIONS	
TASKS	PROJECT MANAGER	SYSTEMS ANALYSTS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMARS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS
DETAIL DESIGN	1.5	6.0								
PROGRAMMING			8.0		1.0		0.25			
UNIT TEST			2.0		0.25					
STRING TEST		1.0	1.0		0.25					
USER TEST		2.0	2.0	2.0	0.25					
USER TRAINING	0.5			6.0		5.0				
PILOT TEST	0.5		1.0	4.0	0.25	0.25				
STATEWIDE IMPLEMENTATION	0.75		1.5	6.0	0.5	2.0				
TOTAL	3.25	9.0	15.5	18.0	2.5	6.25	0.25			

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identify the specific sub-modules and individual programs that will comprise the module. The Detailed Design will include specific data element specifications, screen formats, data flow diagrams, data exchange diagrams, system tables, real-time v. batch specifications for data transmittals, and system security and back-up procedures. In the process of preparing the Detailed Design for the module, the Project Manager and Systems will interact frequently with members of the User Group to ensure that the design specifications are consistent with New Hampshire's requirements for the module.

After the completion of the Detailed System Design, the Project Manager and Systems Analysts will begin to develop the programming specifications for the module. These specifications will be designed for use in developing the system code and system tables necessary to develop each of the programs identified in the Detailed Design. After developing the written programming specifications, the Project Manager and Systems Analysts will interface with the system programmers to review the specifications.

This task will begin in Project Month 5. It is estimated that a total of three months will be required for this task. The estimated personnel requirements are as follows:

- Project Manager: 1.5 person-months, and
- Systems Analysts: six person-months.

TASK 2: SOFTWARE PROGRAMMING

The programmers will be responsible for producing the actual code for each system program. This task will begin in Project Month 8. It is estimated that a total of four months will be required for this task. The estimated personnel requirements are as follows:

- Programmers: 9.25 person-months.

TASK 3: UNIT TESTING OF THE SOFTWARE

This task will involve conducting tests on each of the individual programs in the module. The Project Manager and Systems Analysts will be responsible for providing test specifications and for monitoring the testing procedures. The actual tests will be run by the

system programmers. The Systems Analysts will identify any fixes that need to be made to the software and will ensure that the programmers make the necessary changes.

This task will begin in Project Month 12. It is estimated that one month will be required for this task. The estimated personnel requirements are as follows:

- o Programmers: 2.25 person-months.

TASK 4: STRING TESTING OF THE SOFTWARE

This task will involve testing groups of individual system programs that comprise the module to ensure that they work correctly in combination. The Project Manager and Systems Analysts will select groups of programs that are inter-dependent using test data. The objective of the string testing is to ensure that the interfaces among the programs are working correctly, as reflected in data synchronization requirements and other data dependencies among the programs. The specifications for the string testing will be developed by the Project Manager and Systems Analysts and will be conducted by the programmers.

This task will begin in Project Month 13. It is estimated that a total of one month will be required for this task. The estimated personnel requirements are as follows:

- o Systems Analysts: one person-month, and
- o Programmers: 1.25 person-months.

TASK 5: USER TESTING

During the user testing task, the focus will be on testing the overall module, including all of the individual programs that comprise the system. The goal of the User Testing will be to determine how well the software for the overall system performs under specific testing conditions. The Project Manager and Systems Analysts will be responsible for specifying the testing protocols and for monitoring the tests.

This task will begin in Project Month 14. It is estimated that a total of one month will be required for this task. The estimated personnel requirements are as follows:

- Systems Analysts: two person-months,
- Testers: two person-months, and
- Programmers: 2.25 person-months.

TASK 6: USER TRAINING

User training will be conducted during Month 15 at the Central Repository and in the county selected as the pilot site (see below). The user training will cover all aspects of the new module, including system functions, instructions for accessing the system, screen formats, data element definitions, security procedures, print functions, system reports, and system interfaces. Training sessions will be conducted at each of the agencies participating in the pilot test.

In addition to conducting training for the pilot test, training must be provided statewide in conjunction with full implementation of the new system. This will require organizing and conducting local or regional training sessions encompassing all of the local agencies that will be using the new system.

To support the user training, it will be necessary to develop user manuals, training materials, and training formats. This will include training curricula, hand-outs, and audio-visual materials.

This task will begin in Project Month 18. It is estimated that a total of two months will be required for this task. The estimated personnel requirements are as follows:

- Project Manager: 0.5 person-months, and
- Testers/Trainers: 11.0 person-months.

TASK 7: PILOT TESTING OF THE NEW SYSTEM

The pilot test of the module will be conducted in a single county in New Hampshire. To be considered for the pilot test, the county must be a large population center with a significant number of annual arrests and dispositions. The Central Repository and the courts will also participate in the pilot test.

The pilot test will require the installation of any hardware required to support the CJIS in the pilot site. As discussed later in this chapter, however, the new hardware would consist primarily an automated booking stations at the local police department and the county jail. During the course of the pilot test, the Systems Analysts will analyze the performance of the module and utilize the programmers to make any changes required in the system software.

This task will begin in Project Month 16. It is estimated that a total of two months will be required for this task. The estimated personnel requirements are as follows:

- Project Manager: 0.5 person-months,
- Programmers: 1.25 person-months, and
- Testers/Trainers: 4.25 person-months.

TASK 8: STATEWIDE IMPLEMENTATION

The statewide implementation of the module will involve the installation of the system software and any necessary hardware at all participating agencies. The statewide implementation of the system will be dependent on the development and operation of New Hampshire's backbone telecommunications system, which is expected to be operational in mid-1996.

This task will begin in Project Month 20. It is estimated that a total of three months will be required for this task. The estimated personnel requirements are as follows:

- Project Manager: 0.75 person-months,
- Programmers: 2.0 person-months.
- Testers/Trainers: 8.0 person-months

2. DISPOSITIONS AND SENTENCES MODULE

The tasks and schedule for designing and implementing the Dispositions and Sentences Module of the CJIS are shown in Exhibit VI-3. Exhibit VI-4 shows the personnel requirements for completing each task, by staffing category, and presents a summary of the

total personnel requirements for designing and implementing the overall module, also by staffing category.

In brief, the work will begin on the Dispositions and Sentencing Module in Month 8. Pilot site implementation will begin in Month 19. The module will be fully implemented by Month 25.

The personnel requirements are as follows:

- Project Manager: 3.25 person-months,
- Systems Analysts: 4.0 person-months,
- Programmers: 16.0 person-months, and
- Testers/Trainers: 16.75 person-months.

3. INCARCERATIONS, PROBATION, AND PAROLE MODULE

The tasks and schedule for designing and implementing the Incarcerations, Probation, and Parole Module of the CJIS are shown in Exhibit VI-5. Exhibit VI-6 shows the personnel requirements for completing each task, by staffing category, and presents a summary of the total personnel requirements for designing and implementing the overall module, also by staffing category.

In brief, the work will begin on the Incarcerations, Probation, and Parole Module in Month 11. Pilot site implementation will begin in Month 21. The module will be fully implemented by Month 27.

The personnel requirements are as follows:

- Project Manager: 2.75 person-months,
- Systems Analysts: 2.0 person-months,

Exhibit VI-3
SCHEDULE FOR DESIGNING AND IMPLEMENTING THE DISPOSITIONS AND SENTENCES MODULE

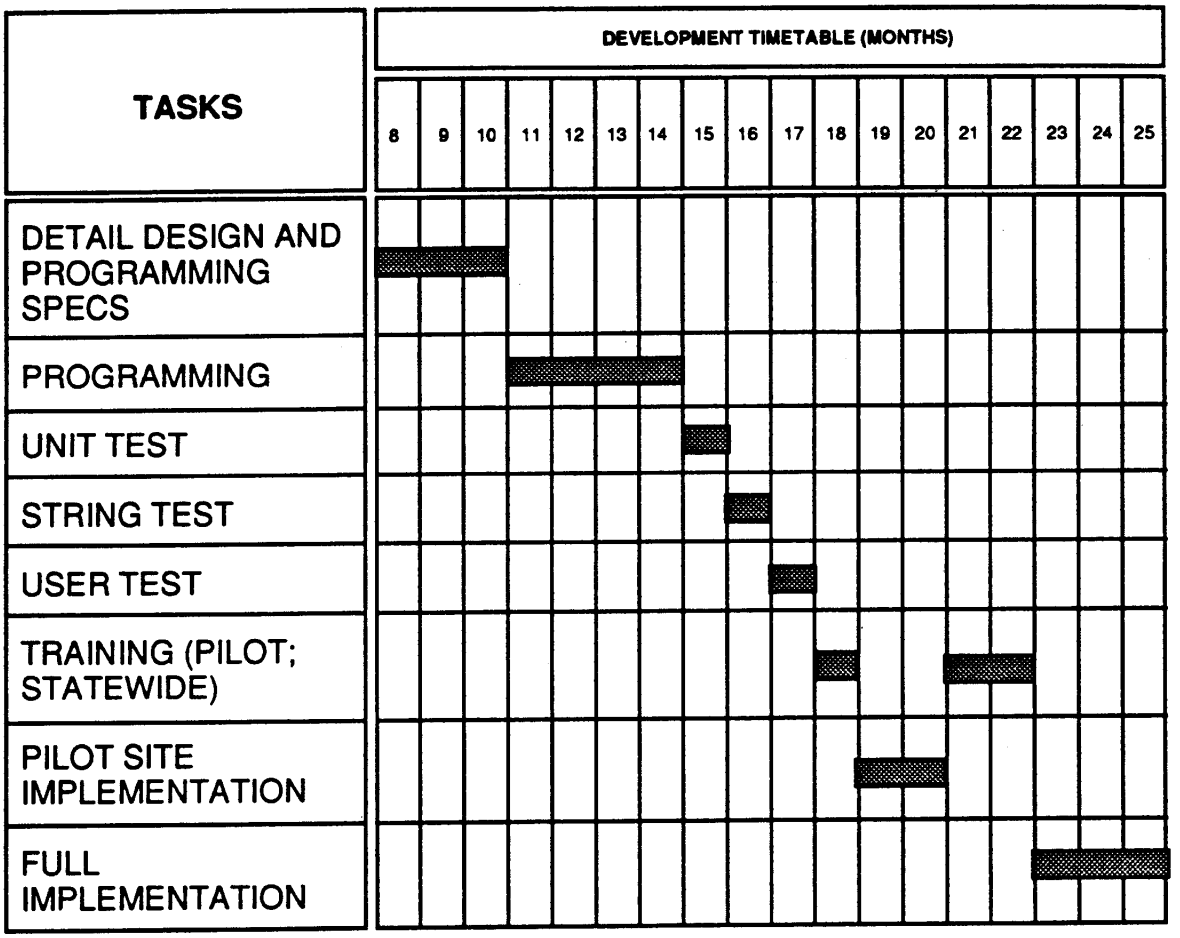

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Exhibit VI-4
RESOURCE REQUIREMENTS FOR THE DISPOSITIONS AND SENTENCES MODULE (PERSON - MONTHS)

TASKS	CENTRAL REPOSITORY AND LAW ENFORCEMENT				COURTS		PROSECUTORS/ PUBLIC DEFENDERS		CORRECTIONS	
	PROJECT MANAGER	SYSTEMS ANALYSTS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMARS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS
DETAIL DESIGN	1.5	2.0								
PROGRAMMING			2.0		1.0		0.25		4.0	
UNIT TEST			1.0		0.25				0.25	
STRING TEST		1.0	1.0		0.25				0.25	
USER TEST		1.0	1.0	1.0	0.5	0.25			0.25	0.25
USER TRAINING	0.5			1.0		2.5				4.0
PILOT TEST	0.5		1.0	1.25	0.25	0.25				1.0
STATEWIDE IMPLEMENTATION	0.75		1.5	1.25	0.25	1.0			1.0	3.0
TOTAL	3.25	4.0	7.5	4.5	2.5	4.0	0.25		5.75	8.25

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Exhibit VI-5
PERSON-MONTHS AND SCHEDULE FOR DESIGNING AND IMPLEMENTING THE INCARCERATIONS, PROBATION AND PAROLE MODULE

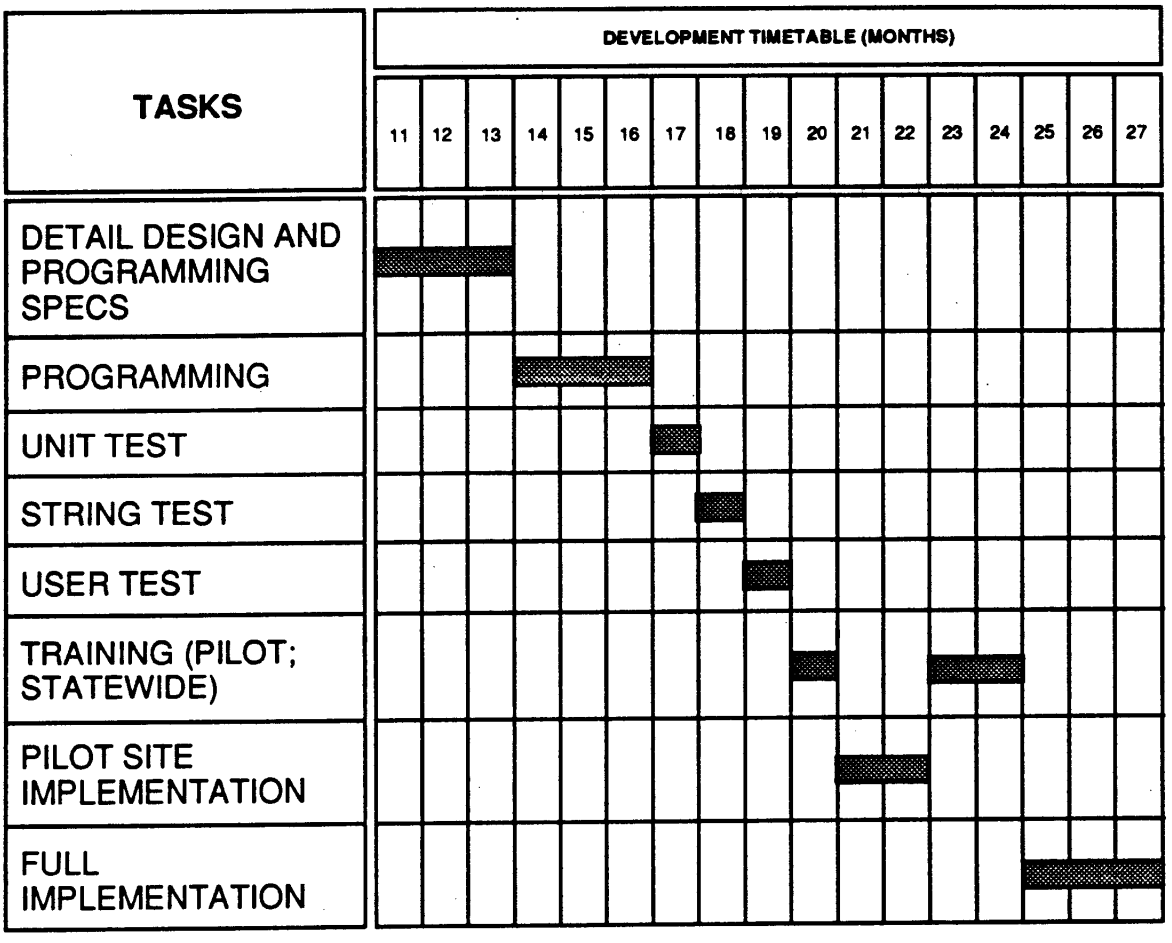

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Exhibit VI-6
RESOURCE REQUIREMENTS FOR THE INCARCERATION/ PROBATION/ PAROLE MODULE (PERSON - MONTHS)

			CENTRAL REPOSITORY AND LAW ENFORCEMENT		COURTS		PROSECUTORS/ PUBLIC DEFENDERS		CORRECTIONS	
TASKS	PROJECT MANAGER	SYSTEMS ANALYSTS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMARS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS
DETAIL DESIGN	0.75	1.0								
PROGRAMMING			1.0		1.0		0.25		5.0	
UNIT TEST			1.0		0.25				1.0	
STRING TEST			1.0		0.25				1.0	
USER TEST		1.0	1.0	1.0	0.25	0.25			1.0	1.0
USER TRAINING	0.75			4.0		1.0				3.0
PILOT TEST	0.5		0.5	1.0		1.0				1.0
STATEWIDE IMPLEMENTATION	0.75		0.5	3.0		2.0			1.0	3.0
TOTAL	2.75	2.0	5.0	9.0	1.75	4.25	0.25		9.0	8.0

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- Programmers: 16.0 person-months, and
- Testers/Trainers: 21.25 person-months.

4. BENCH WARRANT AND RESTRAINING ORDER MODULE

The tasks and schedule for designing and implementing the Bench Warrant and Restraining Order Module of the CJIS are shown in Exhibit VI-7. Exhibit VI-8 shows the personnel requirements for completing each task, by staffing category, and presents a summary of the total personnel requirements for designing and implementing the overall module, also by staffing category.

In brief, the work will begin on the Bench Warrant and Restraining Order Module in Month 11. Pilot site implementation will begin in Month 21. The module will be fully implemented by Month 27.

The personnel requirements are as follows:

- Project Manager: 2.0 person-months,
- Systems Analysts: 3.0 person-months,
- Programmers: 8.75 person-months, and
- Testers/Trainers: 12.0 person-months.

5. PROSECUTIONS, CASE SCHEDULING, AND COURT HEARING MODULE

The tasks and schedule for designing and implementing the Prosecutions and Court Scheduling Module of the CJIS are shown in Exhibit VI-9. Exhibit VI-10 shows the personnel requirements for completing each task, by staffing category, and presents a summary of the total personnel requirements for designing and implementing the overall module, also by staffing category.

In brief, the work will begin on the Prosecutions, Case Scheduling, and Court Hearing Module in Month 16. Pilot site implementation will begin in Month 26. The module will be fully implemented by Month 32.

Exhibit VI-7
SCHEDULE FOR DESIGNING AND IMPLEMENTING THE BENCH WARRANT AND RESTRAINING ORDER MODULE

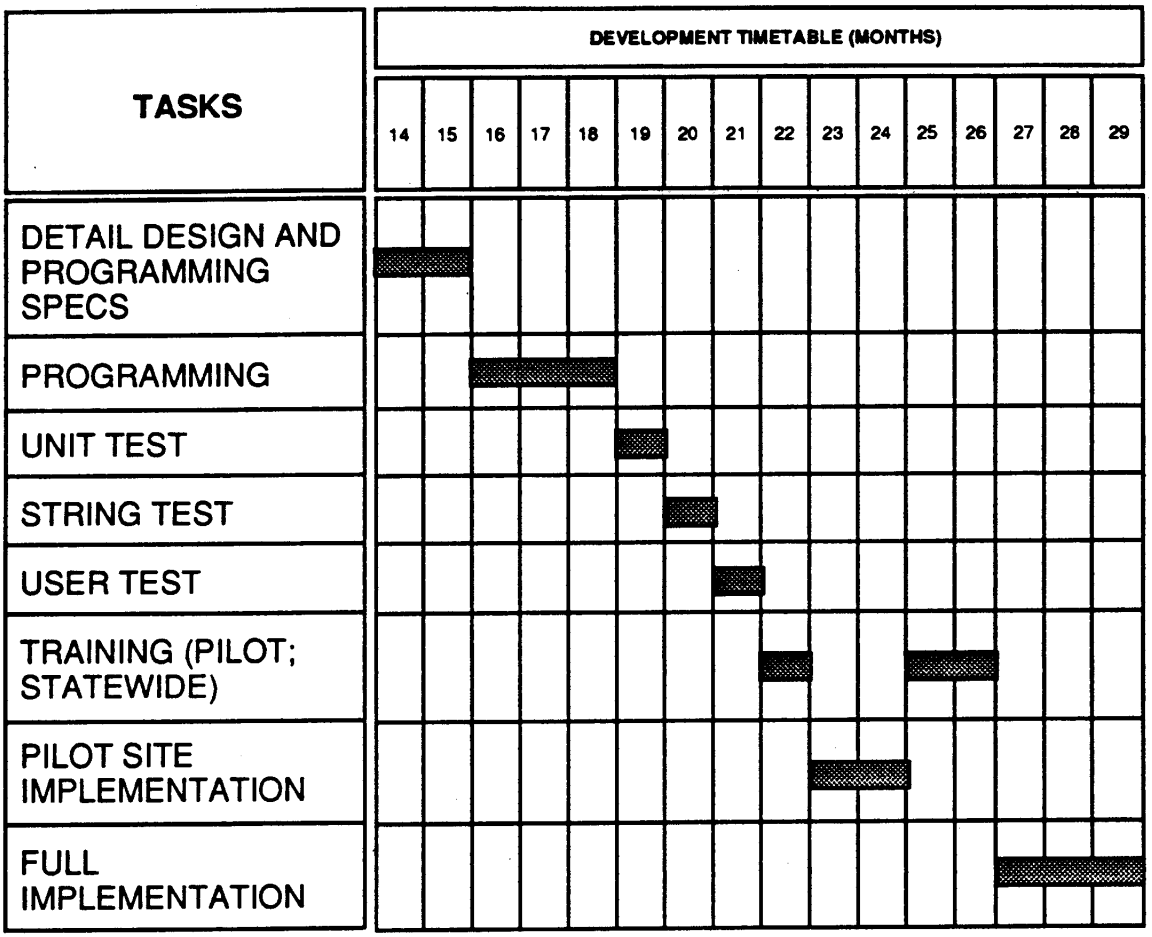

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Exhibit VI-8
RESOURCE REQUIREMENTS FOR THE BENCH WARRANT/ RESTRAINING ORDER MODULE (PERSON - MONTHS)

			CENTRAL REPOSITORY AND LAW ENFORCEMENT		COURTS		PROSECUTORS/ PUBLIC DEFENDERS		CORRECTIONS	
TASKS	PROJECT MANAGER	SYSTEMS ANALYSTS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMARS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS
DETAIL DESIGN	0.5	1.0								
PROGRAMMING			1.0		2.0					
UNIT TEST		0.5	0.5		0.5					
STRING TEST		0.5	0.5		0.5					
USER TEST		1.0	1.0		0.5	1.0				
USER TRAINING	0.75			4.0						
PILOT TEST	0.5		0.5	1.0	0.25	1.0				
STATEWIDE IMPLEMENTATION	0.75		1.0	2.0	0.5	2.0				
TOTAL	2.5	3.0	4.5	7.0	4.25	4.0				

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Exhibit VI-9
SCHEDULE FOR DESIGNING AND IMPLEMENTING THE PROSECUTIONS, CASE SCHEDULING AND COURT HEARING MODULE

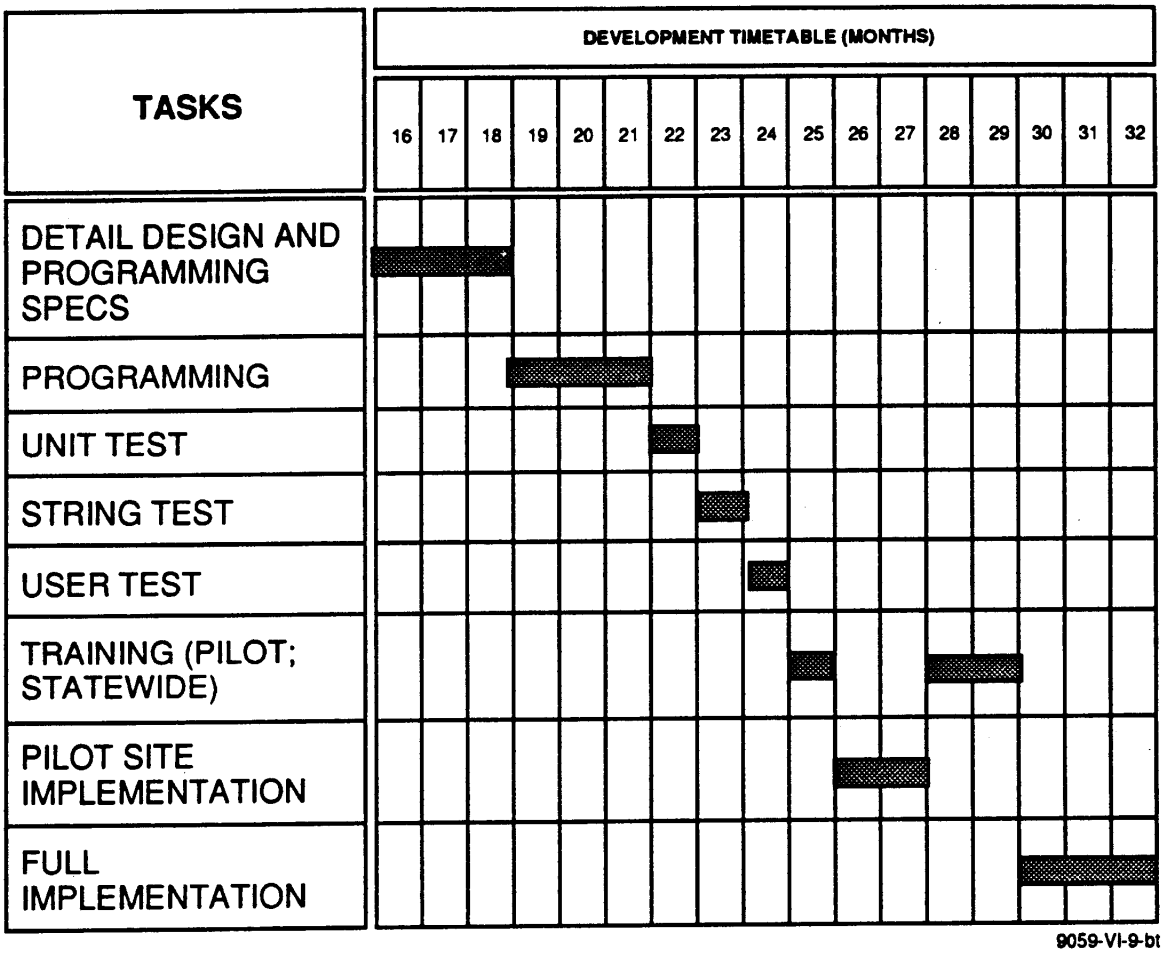

Exhibit VI-10
RESOURCE REQUIREMENTS FOR THE PROSECUTIONS/ CASE SCHEDULING/ COURT HEARING MODULE (PERSON - MONTHS)

			CENTRAL REPOSITORY AND LAW ENFORCEMENT		COURTS		PROSECUTORS/ PUBLIC DEFENDERS		CORRECTIONS	
TASKS	PROJECT MANAGER	SYSTEMS ANALYSTS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMARS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS
DETAIL DESIGN	0.75	1.0								
PROGRAMMING			1.0		1.5		4.0			
UNIT TEST			0.5		0.25		1.0			
STRING TEST		1.0	0.5		0.25		1.0			
USER TEST		1.0	0.5	1.0	0.25	0.25	1.0	1.0		
USER TRAINING	0.75			3.0		4.0		3.0		
PILOT TEST	0.5			0.5		0.5		1.0		
STATEWIDE IMPLEMENTATION	0.75		1.0	2.0	0.5	1.0	1.0	1.0		
TOTAL	2.75	3.0	3.5	6.5	2.75	5.75	8.0	6.0		

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The personnel requirements are as follows:

- o Project Manager: 2.75 person-months,
- o Systems Analysts: 3.0 person-months,
- o Programmers: 14.25 person-months, and
- o Testers/Trainers: 18.25 person-months.

6. PRE-SENTENCE INVESTIGATIONS MODULE

The tasks and schedule for designing and implementing the Pre-Sentence Investigation Module of the CJIS are shown in Exhibit VI-11. Exhibit VI-12 shows the personnel requirements for completing each task, by staffing category, and presents a summary of the total personnel requirements for designing and implementing the overall module, also by staffing category.

In brief, the work will begin on the Pre-Sentence Investigation Module in Month 19. Pilot site implementation will begin in Month 28. The module will be fully implemented by Month 34.

The personnel requirements are as follows:

- o Project Manager: 0.75 person-months,
- o Systems Analysts: 1.0 person-months,
- o Programmers: 10.25 person-months, and
- o Testers/Trainers: 11.0 person-months.

Exhibit VI-11
SCHEDULE FOR DESIGNING AND IMPLEMENTING THE PRE-SENTENCE INVESTIGATION MODULE

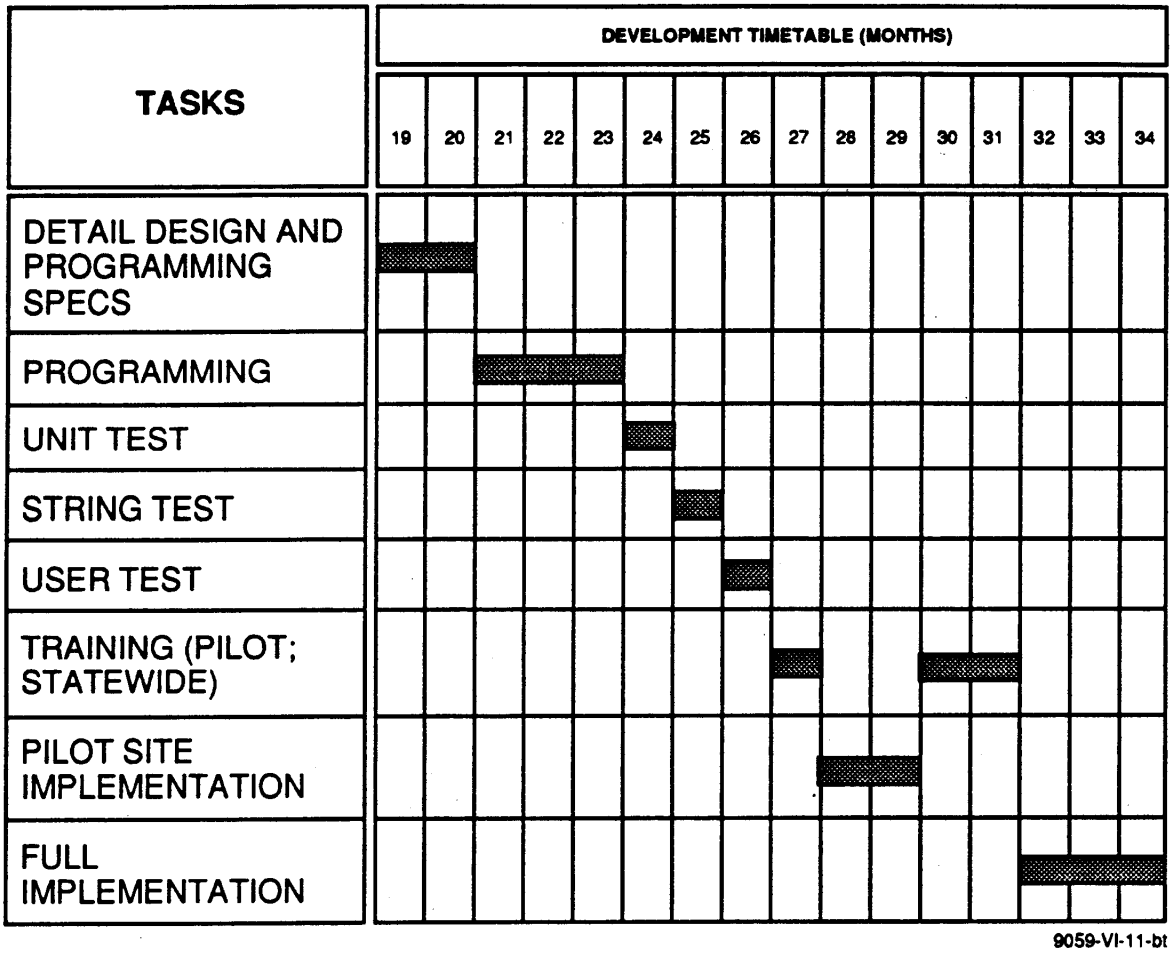

Exhibit VI-12
RESOURCE REQUIREMENTS FOR THE PRE-SENTENCE INVESTIGATION MODULE (PERSON - MONTHS)

TASKS	CENTRAL REPOSITORY AND LAW ENFORCEMENT				COURTS		PROSECUTORS/ PUBLIC DEFENDERS		CORRECTIONS	
	PROJECT MANAGER	SYSTEMS ANALYSTS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMARS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS	PRO-GRAMMERS	TESTERS/ TRAINERS
DETAIL DESIGN	0.75	1.0								
PROGRAMMING			0.5		1.0		0.25		4.0	
UNIT TEST			0.25		0.25				1.0	
STRING TEST			0.25		0.25				1.0	
USER TEST			0.25		0.25	0.25			1.0	1.0
USER TRAINING	0.5					2.5				3.0
PILOT TEST	0.5					0.25				1.0
STATEWIDE IMPLEMENTATION	0.75					1.0				2.0
TOTAL	2.5	1.0	1.25		1.75	4.0	0.25		7.0	7.0

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D. SUMMARY OF THE OVERALL SCHEDULE, PERSONNEL REQUIREMENTS AND PERSONNEL COSTS FOR IMPLEMENTING THE CJIS SYSTEM

Exhibit VI-13 presents an overall Gantt Chart summarizing the overall schedule for designing and implementing the CJIS system, including the proposed schedule for each of the modules. Exhibit VI-14 provides the overall personnel requirements for implementing the CJIS, including the overall design and the six modules. As indicated, the projected personnel costs for the entire CJIS system are $4,934,367. However, this cost could be reduced to about $3,157,700 if the testing and training were conducted by in-house staff. The cost could be reduced further if some of the programming could be done by in-house personnel.

E. HARDWARE REQUIREMENTS AND COSTS FOR THE NEW HAMPSHIRE CJIS

The hardware requirements for the CJIS system will be relatively minor for four reasons:

- The CJIS will be able to take advantage of the new telecommunications backbone system that New Hampshire is planning to implement in mid-1996.
- As indicated in Chapter IV, the CJIS will make use of existing hardware as much as possible.
- New Hampshire officials wish to focus the system on the agencies that account for the largest percentage of criminal cases, rather than incorporating every single police department in the state.
- Officials at the Central Repository have indicated that they already have sufficient hardware capacity to support the new processing requirements of the different CJIS modules.
- Court officials have indicated that their hardware is sufficient to process the new modules, although, at a later time, they may want to consider a single mainframe processor for the courts as a whole.
- The Department of Corrections has just acquired new computer equipment which should be sufficient to process the proposed modules.

Exhibit VI-13
OVERALL SCHEDULE FOR THE DEVELOPMENT OF THE CJIS MODULES

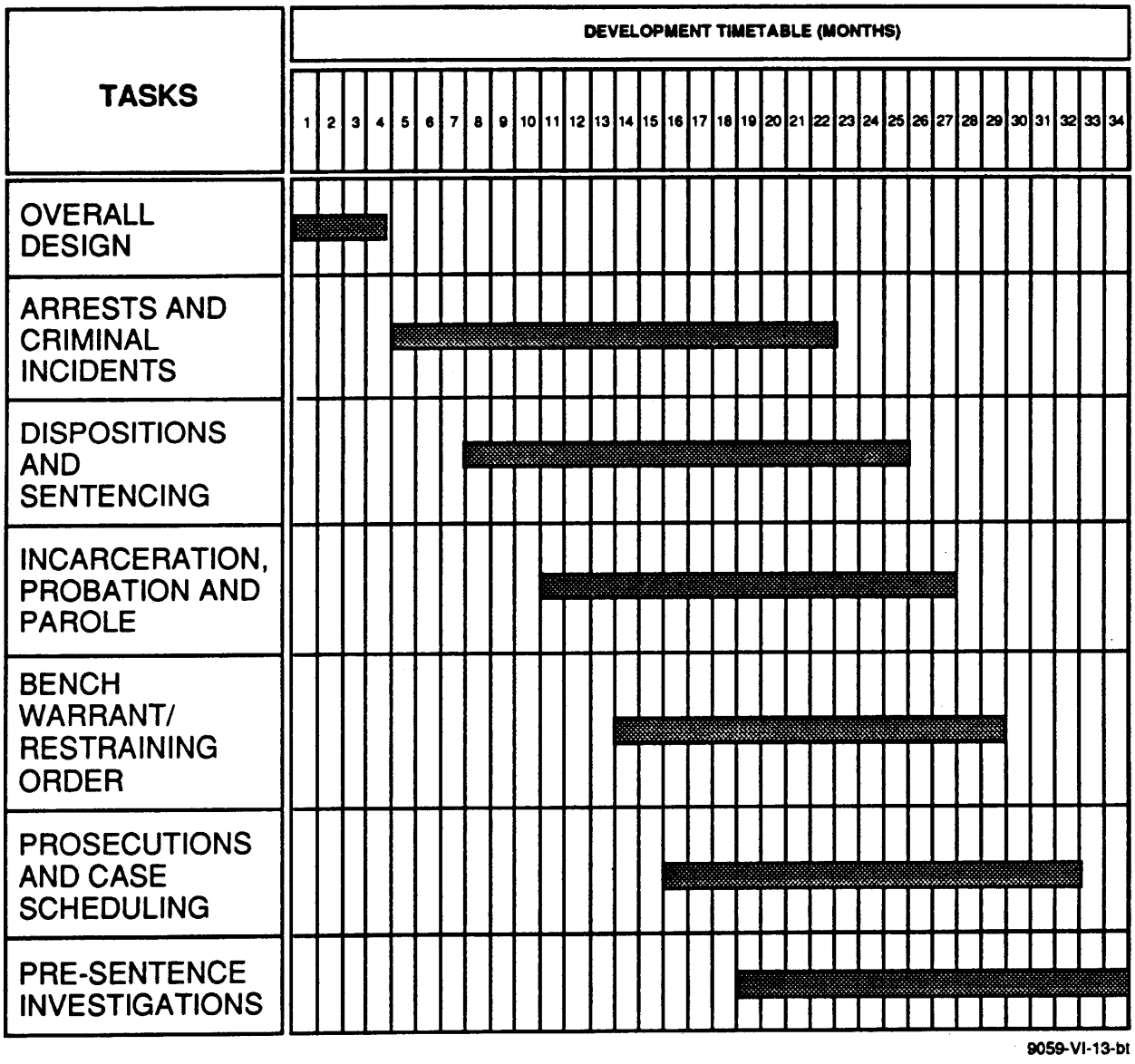

Exhibit VI-14
ESTIMATED PERSONNEL COSTS

A. PERSON-MONTHS BY STAFF CATEGORY

Project Manager: 19 person-months

Systems Analysts: 33 person-months

Programmers: 83.5 person-months

Testers/Trainers: 102.5 person-months

B. COSTS PER STAFF CATEGORY*

Project Manager ($175/hour): $576,333

Systems Analyst ($135/hour): $772,200

Programmers ($125/hour): $1,809,167

Testers/Trainers ($100/hour): $1,776,667

TOTAL PERSONNEL COSTS: $4,934,367

* The cost estimates are based on a 2,080 hour person-year

- o Prosecutors and Public Defenders have indicated that their equipment can handle the new modules.

In this context, the primary hardware requirements for the new CJIS system will include the following:

- o automated booking stations to support the Arrests and Criminal Incidents Module;
- o minor hardware acquisitions to improve the capacity of the Central Repository; and
- o hardware to permit the agencies to connect all of their computers, PC's, LANs, booking stations, and other equipment to the state's backbone network.

1. ACQUISITION OF AUTOMATED BOOKING STATIONS

It is estimated that 25 automated booking stations will be required to support the Arrests and Criminal Incidents Module. Each of the 10 county jails will receive a booking station, and the remaining 15 will be deployed at the arresting agencies that account for the large majority of all arrest activity in New Hampshire.

The automated booking stations will permit arrest information to be entered on-line. This will ensure that all the required information is captured. In addition, fingerprints will be scanned into the system automatically.

The estimated cost of the automated booking stations is $875,000.00.

2. MINOR HARDWARE ACQUISITION TO IMPROVE THE CAPACITY OF THE CENTRAL REPOSITORY

Minor hardware purchases will be necessary at the Central Repository in the form of memory cards, controllers, ports, and cabinets. The total estimated cost of this new hardware for both of the BULL computers combined is $101,000. Annual maintenance on the new equipment is estimated at about $6,800.

3. HARDWARE REQUIRED TO ALLOW THE AGENCIES AND COURTS TO CONNECTS TO THE BACKBONE SYSTEM

It is extremely difficult, if not impossible, to estimate the cost of permitting the agencies and courts to connect their computers, PC's, LANs, booking stations and other equipment to the backbone system. The reason is that the state's backbone system has not been completely designed, nor have any vendors been solicited or selected to provide the hardware or software for the network.

However, in Exhibit VI-15, we have very generally estimated the number and type of hook-ups required and the cost for these devices.

F. OVERALL BUDGET FOR THE DESIGN AND DEVELOPMENT OF THE NEW HAMPSHIRE CJIS

The overall estimated cost for the design and development of the New Hampshire CJIS is as follows:

Personnel costs: $4,934,367

Hardware acquisition: $1,475,300

TOTAL: $6,409,667

G. OPERATIONS COSTS

There are four categories of operations costs which would commence once the various modules are implemented:

- Personnel
- Maintenance on equipment purchased
- Maintenance on connectivity devices
- Backbone network usage costs

At this time costs are extremely difficult to estimate with any good degree of precision since the modules have not been designed. For example, the network has not even

Exhibit VI-15
ESTIMATED HARDWARE COSTS FOR CONNECTING THE AGENCIES AND COURTS TO THE BACKBONE

	Types of Device	Number of Devices	Total Cost	Tail Circuits at $500	Wiring/Cabling at $100	DSU/Modems at $500	Bridges at $2,500	Ethernet Adaptors at $200	Emulation Boards at $500
Courts									
Local District and Superior	LAN	51	$ 193,800	$ 25,500	$ 5,100	$ 25,500	$ 127,500	$ 10,200	
Police and Central Repository									
Booking Stations	PC	25	$ 40,000	$ 12,500	$ 2,500	$ 12,500			$ 12,500
Local Police Departments	PC	120	$ 192,000	$ 60,000	$ 12,000	$ 60,000			$ 60,000
Bull Switch and CHRI	Mainframe*	1	$ 1,100		$ 100				
Corrections									
State Prison Bull DPX20-610	Mainframe*	1			$ 100				
HHS Bull DPX90	Mainframe*	1			$ 100				
Local Parole and Probation	PC	10	$ 16,000	$ 5,000	$ 1,000	$ 5,000			$ 5,000
Central Site	PC	1	$ 1,600	$ 500	$ 100	$ 500			$ 500
Local Detention	PC	10	$ 16,000	$ 5,000	$ 1,000	$ 5,000			$ 5,000
Defenders									
Local Offices	PC	10	$ 16,000	$ 5,000	$ 1,000	$ 5,000			$ 5,000
Prosecutors									
WANG	Mainframe*	1	$ 1,600		$ 100				
County Prosecutors	PC	10	$ 16,000	$ 5,000	$ 1,000	$ 5,000			$ 5,000
City Prosecutors	PC	5	$ 8,000	$ 2,500	$ 500	$ 2,500			$ 2,500
TOTALS		246	$ 499,300	$ 121,000	$ 24,600	$ 121,000	$ 127,500	$ 10,200	$ 95,500

*Upgrades

been fully designed nor has it been determined how many users or "nodes" will be on the system. Finally, the vendor RFP has not been issued yet.

1. PERSONNEL COSTS

We have estimated that for maintenance purposes only, 1 full time programmer would be required for the police/Central Repository, 1 full time programmer for the courts, and a half-time programmer for the Department of Corrections. No on-going personnel are required for the prosecutors or public defenders.

2 1/2 programmers x $40,000 plus 25% fringe benefits = $125,000/year

2. MAINTENANCE ON EQUIPMENT PURCHASED

The yearly maintenance cost for purchased equipment is listed below:

Item	Maintenance Cost/ Unit	# Units	Total Cost
Booking stations	3,700	25	$92,500
Miscellaneous Central Repository equipment	6,800		$6,800
Total	**10,500**		**$99,300**

3. MAINTENANCE ON CONNECTIVITY DEVICES

Exhibit VI-15 depicted 246 devices of various types required to connect agencies to the state's "backbone" telecommunications network.

The yearly cost of maintaining these devices is minimal because the devices are electronic and rarely fail.

4. "BACKBONE" TELECOMMUNICATIONS NETWORK USAGE COSTS

As previously mentioned, this is the most difficult cost to estimate. Although OITM Management tried to be helpful, because the network RFP has not yet been issued, they were

unable to project costs. However, in an overall sense, they plan a 20 percent reduction in present networking costs.

Recently, the state police/local police/Central Repository network had 121 devices connected to the system all on leased lines. All devices connected to the network with access to NCIC must be on leased lines; dial up technology is not permitted by the federal government. Telecommunications costs are approximately $70,000 per month or $840,000/per year. A simple extrapolation to a 246 node network all using leased lines results in an expected cost of $1,707,000 per year.

5. TOTAL ANNUAL OPERATIONAL COSTS

Personnel	$125,000.00
Equipment Maintenance	$99,300.00
Maintenance on Connecting Devices	$0.00
Backbone network	$1,707,000.00
Total	**$1,931,300.00**

CHAPTER VII

PROJECT ORGANIZATION AND PLANNING

CHAPTER VII: PROJECT ORGANIZATION AND PLANNING

This chapter presents an overview of the proposed project organization and planning framework for implementing the New Hampshire CJIS, emphasizing the importance of shared responsibility and participation by the different criminal justice agencies and the Judicial Branch.

A. PHASES OF CJIS DEVELOPMENT IN NEW HAMPSHIRE

As noted in Exhibit VII-1, there will be three distinct phases of CJIS development in New Hampshire:

- o planning,
- o implementation, and
- o operations.

Each of these three phases involves distinct activities, outcomes, and requirements. The planning phase includes the development of this CJIS Master Plan but will also encompass ongoing planning activities that will continue throughout the development of the CJIS. The key activities in the planning stage will include setting priorities, obtaining and maintaining the support of participating organizations, making strategic decisions to implement the Master Plan, and setting policies and technical strategies. The expected outcomes of the planning phase will include funding, legislation and approval by key policy makers.

The implementation phase involves those activities to procure the necessary resources to actually design, program, test, and implement the CJIS system. The operations phase involves maintaining and enhancing the system.

B. ORGANIZATION OF CJIS PLANNING AND IMPLEMENTATION PHASES

The proposed organization chart is depicted in Exhibit VII-2.

To ensure the success of CJIS planning activities throughout the course of the CJIS initiative, MAXIMUS recommends the establishment of a CJIS Policy Board and a CJIS

Exhibit VII-1
CJIS DEVELOPMENT PHASES

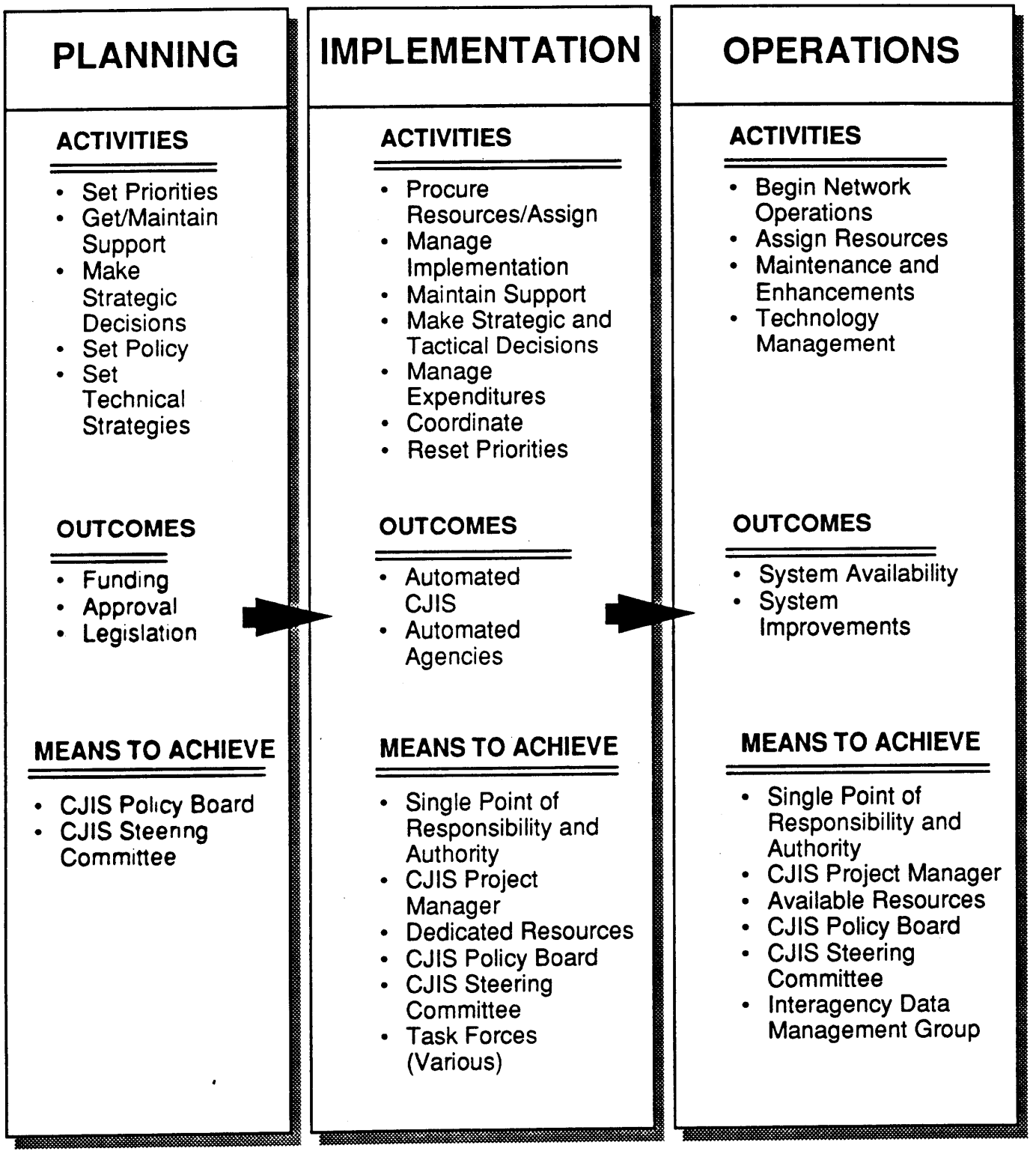

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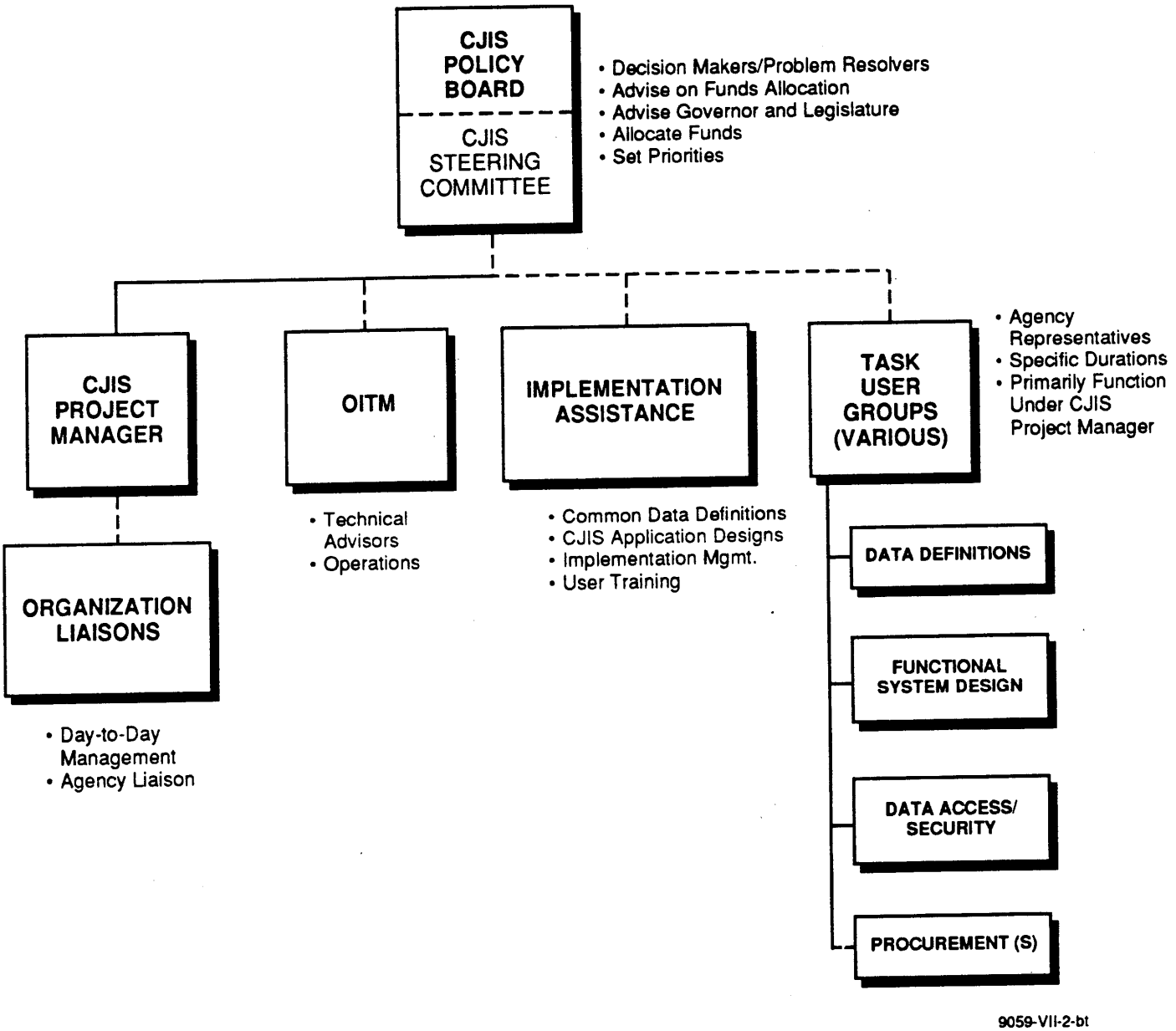
Exhibit VII-2
RECOMMENDED ORGANIZATION
FOR NEW HAMPSHIRE'S PLANNING AND IMPLEMENTATION PHASES



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Steering Committee comprised of representatives of all participating organizations. Each criminal justice agency would have one member of the Steering Committee appointed by the head of the agency. Where there is unanimous agreement on any issue brought to the Steering Committee, a decision will be deemed to have been made. Where there is not a unanimous agreement, the issue will be directed to the CJIS Policy Board for evaluation.

The CJIS Policy Board will consist of two members. One will be appointed by the Governor and one will be appointed by the Chief Justice of the Supreme Court. All decisions made at this level will be final.

As indicated in the exhibit, we recommend the procurement of a CJIS Project Manger who would be responsible to the CJIS Policy Board and CJIS Steering Committee. The CJIS Project Manager would interface with agency liaisons, representatives of the Judicial Branch, and OITM. Operating under the direction of the CJIS Steering Committee, the CJIS Project Manager would be responsible for various types of implementation assistance, such as working with different participating organizations to develop common data definitions, CJIS application designs, implementation management, and user training. An OITM representative should be on the Steering Committee as a technical advisor.

In Chapter VI, we identified the program analyst, programmer, testing, and training resources that will be required in each agency to program, test, and implement the modules. Although these resources will report directly to their respective agencies, they will report to the Steering Committee on a "dotted line" basis and should meet together regularly throughout the project to coordinate activities and share experiences.

There will be various user groups that need to be assembled at the proper time throughout the planning and implementation phases of the project. For example, one group will need to help with the functional design and sign off of the final design. Another must deal with the important issues of data access/security.

C. AGENCY FUNDING

In order to ensure that all criminal justice agencies are working together on the same modules at the same time, all agencies should be asked to "sign off" on this plan and then on

the basic designs. Before the necessary funds for the equipment and personnel associated with a module are actually allotted to an agency the agency should be asked to sign a statement agreeing to program, test, and implement that module on the same agreed upon timetable.